The Dominant Ninth in Music from 1900 to 1924, Part 1

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Abstract:

By about 1890, the major dominant ninth harmony had become firmly established in compositional and improvisational practice. After 1900, this harmony was routinely used in many musical genres. The two parts of this essay sample a few of these occurrences in repertoires ranging from those that are surprisingly conservative (American marches and ragtime) to those that are remarkably adventurous (French Impressionists and the English and American musicians influenced by them). Composers represented in Part 1 include Costa Nogueras, Friml, Hageman, Herbert, Joplin, Kern, Lehar, Lincke, MacDowell, and Sousa.

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Introduction

1. This essay

By about 1890, the major dominant ninth harmony had become firmly established in compositional and improvisational practice. For more information and a variety of musical examples, see my essays Dominant Ninth Harmonies in the 19th Century (2018) and The Dominant Ninth and Tonic Seventh in the Upper Tetrachord of the Major Key (2020).

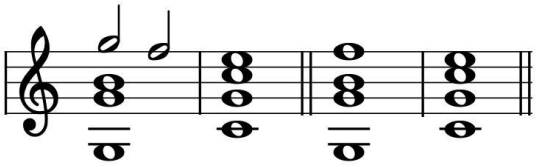
After 1900, the chord was routinely used in many musical genres. The two parts of this essay sample a few of those occurrences in repertoires ranging from the surprisingly conservative (American marches and ragtime) to the remarkably adventurous (French Impressionists and the English and American musicians influenced by them). Among the outliers in this era are German concert and recital musics, despite the influence of Wagner's early operas and the ubiquitous Viennese waltz, but the same can be said of the Savoy opera, Victor Herbert's operettas, and the Princess Theatre musicals of Jerome Kern.

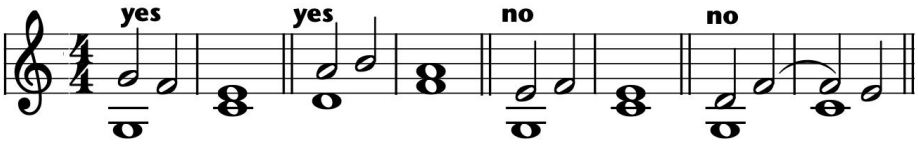
It is important to understand that the operative word is "sample," not "survey." This essay is not the result of a corpus study, a computer-aided parsing of a large repertory for particular stylistic features. I do admit that this project would probably be quite amenable to that kind of mechanization, but I have neither the skills nor the software nor much interest in that sort of undertaking—though I would be happy to read about what others might learn from doing it. Instead, the work here is an outgrowth of previous work, as reported in the essays named above and also in Dominant Ninth Harmonies in American Songs around 1900 (2019).

2. The dominant ninth: historical narrative

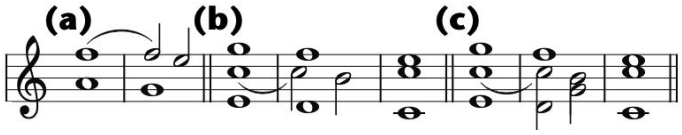
The prevailing historical narrative—despite recent debunking by well-informed scholars—is that the V7 chord arose out of "freezing" a passing tone and was treated as an independent entity by some Italian musicians already in the first quarter of the 17th century (specifically, Monteverdi), though it didn't become fully embedded in harmonic practice till the last quarter of that century.

This aligns well with pedagogical abstractions in the strictest forms of species counterpoint, which do not allow dissonant neighbor notes, leaps to dissonances, or dissonant preparations, thus making the passing tone the only possible origin:

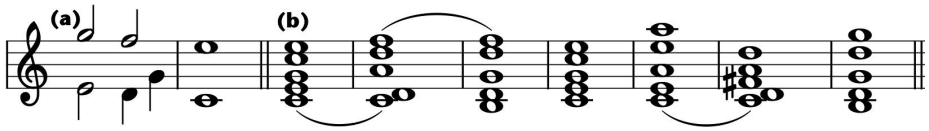




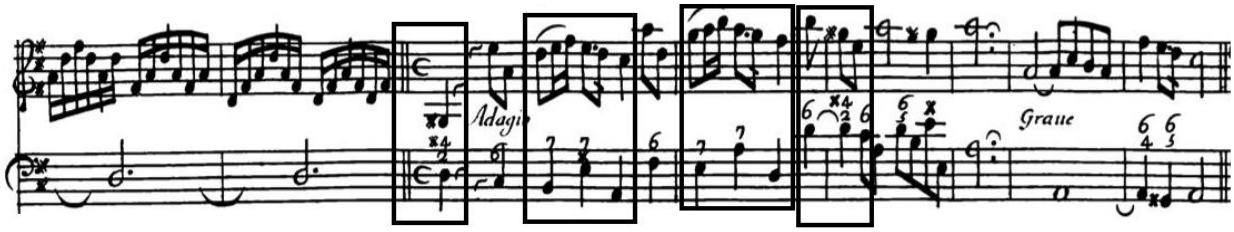
A more likely historical route is through suspensions. At (a), the seventh G4-F5 arises as a suspension dissonance; at (b), in three-part counterpoint a "dominant function" chord arises with the resolution; at (c), an alternate version gives a root-position dominant seventh chord.



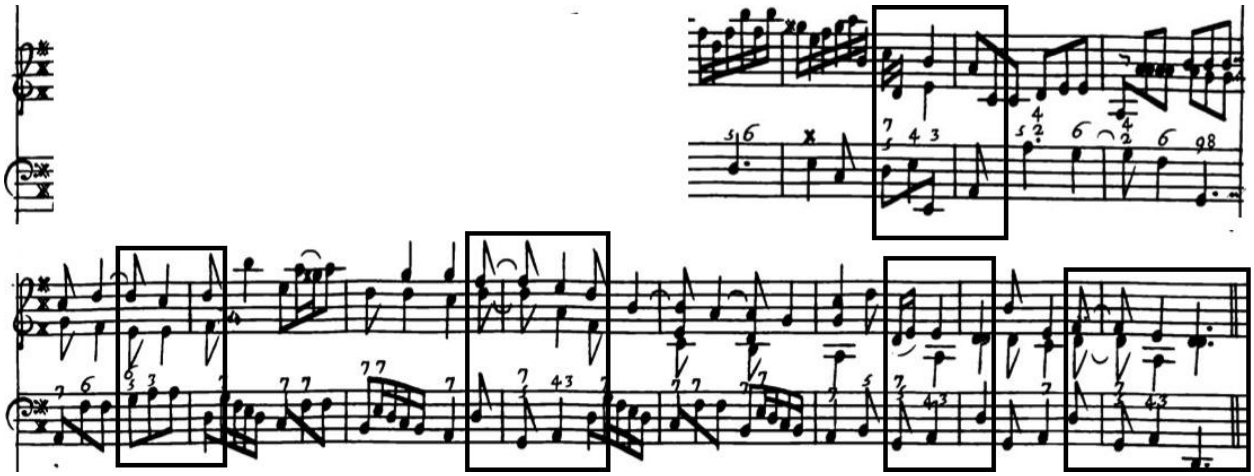
In the figure below, at (a), a two-voice version of the last but now in the common quarter-note based meter of the later 17th century; at (b), note that J. S. Bach uses the prepared seventh three times in the first seven bars of the C Major Prelude, *WTC* I (the second and third are dominant seventh types; there are even more after that).



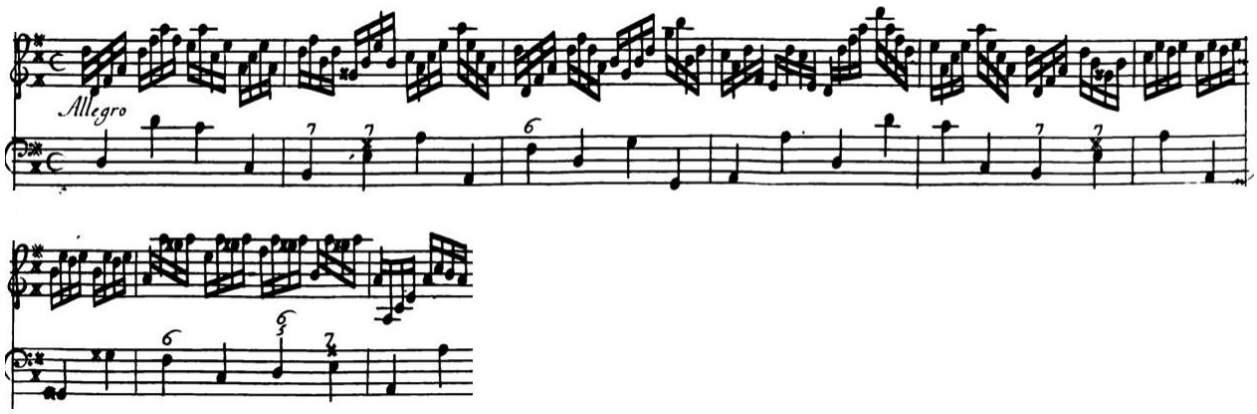
Here are similar figures in the opening movement of Corelli's Violin Sonata, op. 5 no. 1: in the first box, a dramatic pause on A: V4/2 (note that the continuo has the preparation); in the second box, A: ii7 V7 I, and in the third the same again in D; in the fourth box A: ii6 V4/2 I6. The point of interest is that the seventh is dictated for the dominant function chords in each progression.



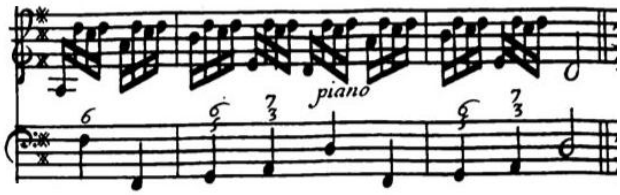
Much more often one finds 7 indicated for the pre-dominant (ii or IV) chord, but a triad for the dominant, as in the example below, the string of closely following cadences that end the sonata.



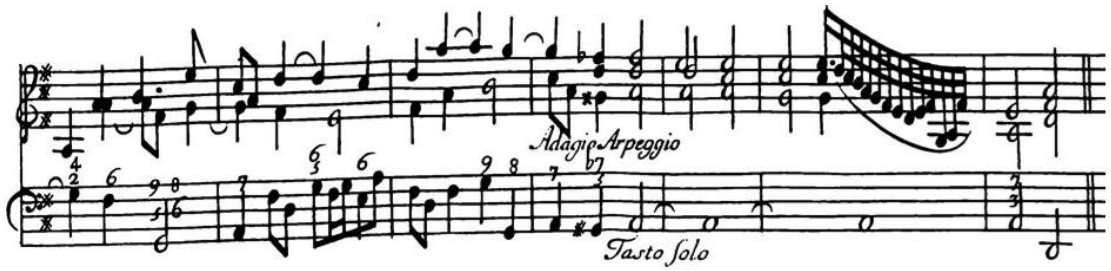
The third movement has both types: for the figure with V7 see bars 2, 5, and 6 below.



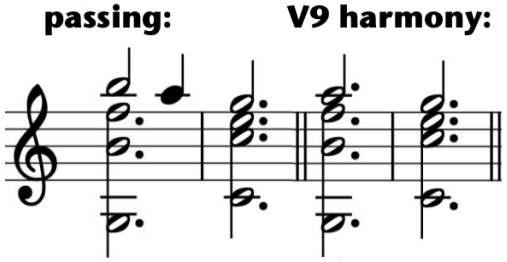
And here is the end of the movement:



As a postscript—but also an indication of what was very probably done with novel sonorities by many 17th-century violin virtuosi—here is the ending of the second movement, which opens as a fugue, continues with arpeggios, and ends with the dramatic adagio shown below. Although it is difficult to see, the figure over A2 in the final bar is 7/3. We have reached the point, then, where the dominant seventh chord can be expressive (dramatic) or functional in a cadence—or, as here, both.

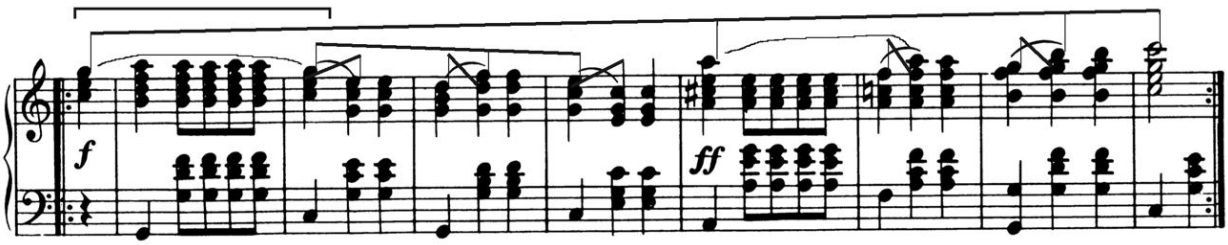


Returning now to the "frozen" passing tone notion, we can easily assume by analogy or extension that the ninth of the V9 chord—A5 in the example below—arose the same way. I have argued that this is a plausible explanation, as one can see it in music from Germanophone countries sometime in the last quarter of the 18th century and it certainly had become embedded in the social dance repertoire by 1825 at the latest, through which it found its way into music for the stage in the 1830s and eventually (after roughly 1860) into music of all types.



Although V9 can thus be seen as an imitation of V7, there is a striking difference between them: in the example at the right, the leading tone B5 moves contrary to its primitive "required" motion: it goes down, away from the tonic note, not up, thus creating a context of intensified expressiveness I would call a doubled yearning that is especially effective in early waltzes and Ländler—for more on this see The Dominant Ninth and Tonic Seventh in the Upper Tetrachord of the Major Key, whose sixty examples are drawn almost entirely from the waltz repertoire.

As for the alternatives, I doubt that suspensions were much of a factor, as the ii-V-I progression was not common in the early Ländler repertory, where harmonies consisted mostly of varied assortments of V and I. I suspect that neighbor notes are a better candidate: ^5-^6-^5, as in this striking example from Schubert, the second strain of *Valses nobles*, D. 969, n11 (1828). Note how the emphasis to ^5 and ^6 turns into an ascending cadence gesture at the end.*



It might seem reasonable to say—as I have done on earlier occasions—that the great success of the Viennese waltz style in the 1830s (brought about by Josef Lanner and Johann Strauss, sr.) inevitably affected the duple-meter polka when that dance arose to great popularity in the 1840s. However, I am no longer convinced that was the case, as the polkas of Strauss Vater and the early ones of Strauss Sohn are quite conservative in their treatment of both melody and harmony—both are more reminiscent of the galop, the most popular duple-meter ballroom dance in the 1830s. It is only after Strauss, jr., begins to distinguish the *polka schnell* galop from

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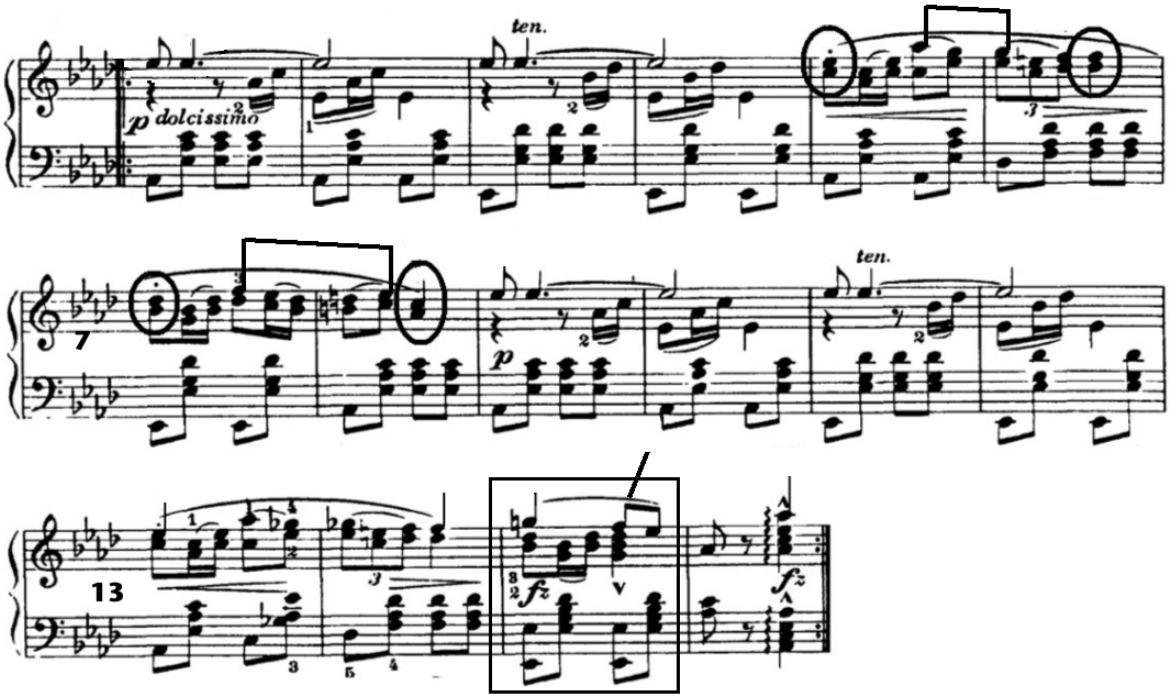
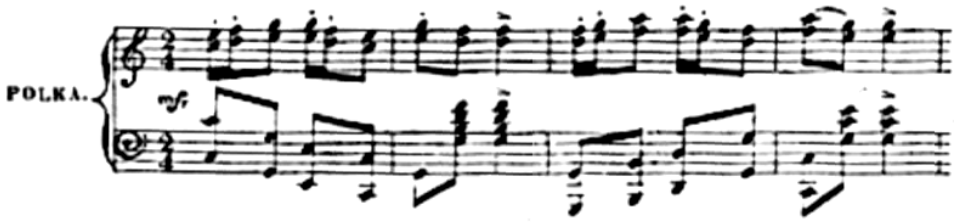
* The German dance (Deutscher Tanz or simply Deutscher) and the Ländler were distinct in the first quarter of the 19th century (despite frequent confusion of titles in publication). Most of the *Valses nobles* are Deutscher, but confusion can arise because the second strain in an AB form or B in an ABA form of an urban Ländler sometimes imitated the foot-stamping episodes of rural dancing.

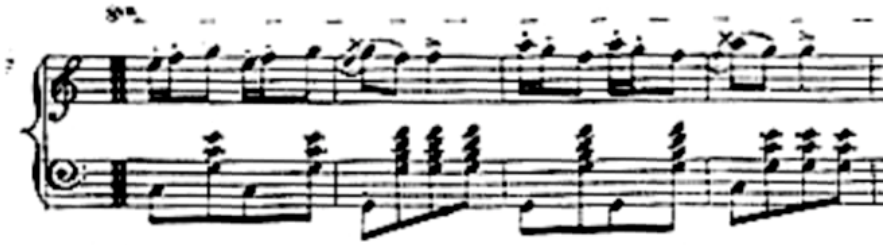
the slower *polka française* in the mid-1850s that one sees waltz-like figures intrude in the latter. On the other hand, one finds treatments of the ninth similar to Schubert's typical usage (which we can take as an accurate gauge of popular performance practice in the 1820s) in some of the earliest published polkas of others, such as Bedrich Smetana's *Louisina Polka* (1840). Here is the first trio strain. (1) The swapping of consonance/dissonance roles in the parallelisms of bars 5-6 & 7-8: Eb5 is consonant in bar 5, but its "partner" in bar 7 is a dissonant seventh; Ab5 in bar 5 is paired with F5 in bar 7, and this ninth over V resolves indirectly to Eb5 in bar 8. (2) An inflection of a ninth in the cadence (bar 15: boxed) adds color to the cadential V, and in this case, as with the Schubert example above, "encourages" an upper-register cadential figure.



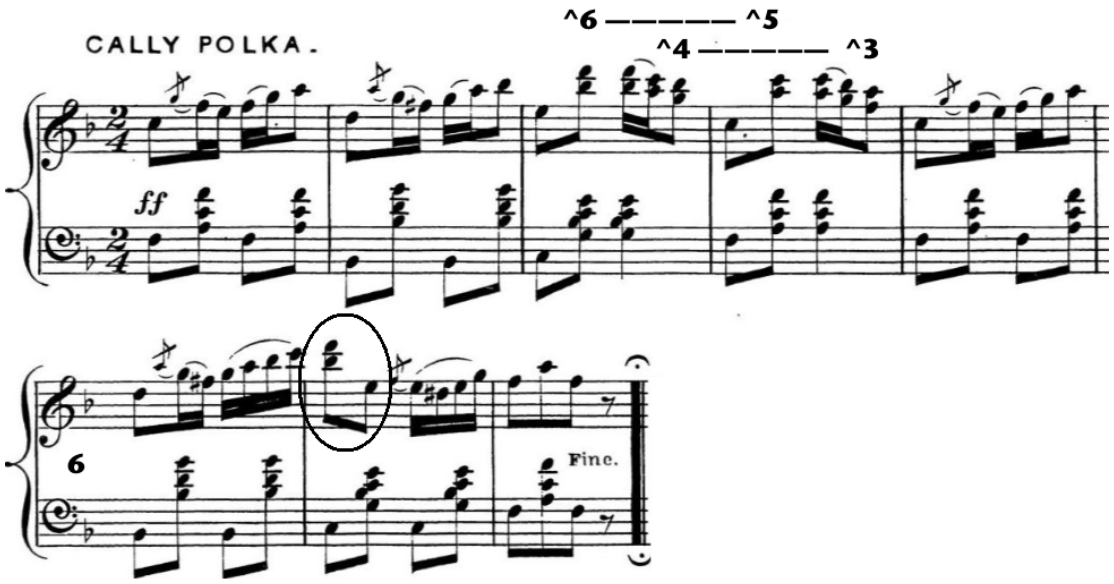
Marie de Korponay uses the same parallel figure to open her *Gabriella Polka* (1845):



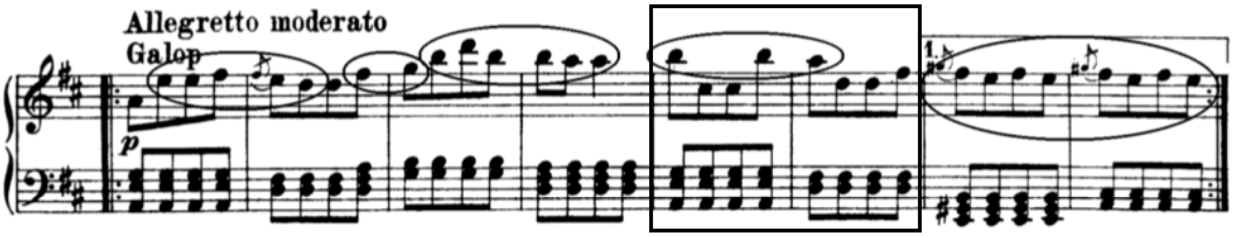
And she doubles down on it in the second strain:



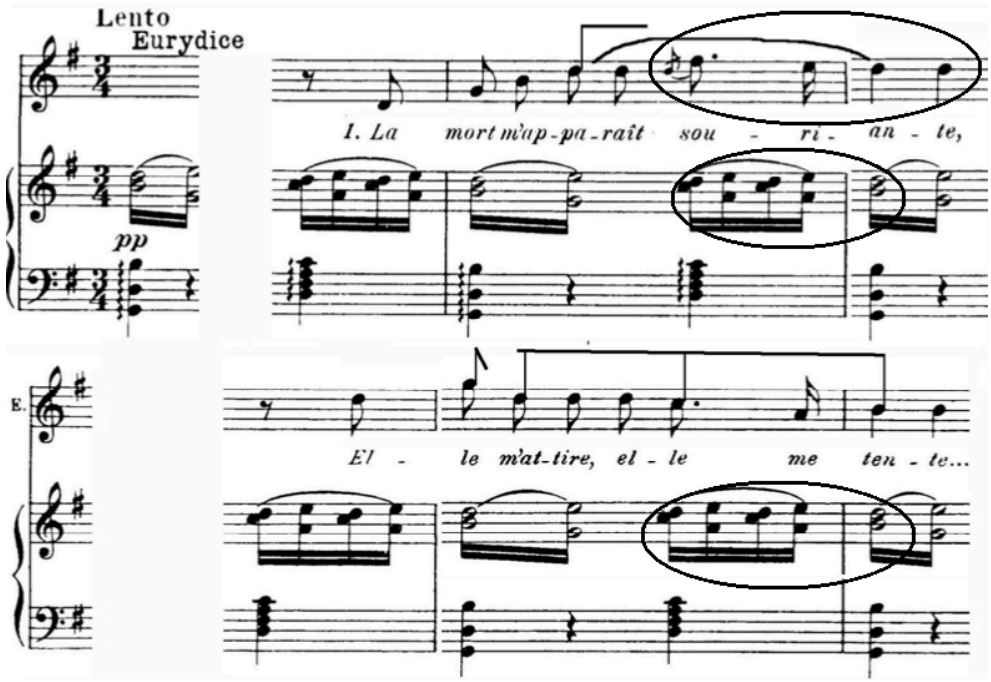
Another version of the figure is used in the opening number of *Dodworth's Polka Quadrilles* (1850), bars 3-4. As in the previous examples, the result is what I call an indirect resolution of V9: it is obvious that one hears ^6 as resolving to ^5, but there are a few intervening notes (usually, as here, with their own trajectory). In the cadence, emphasis to a V9 sound but probably not enough to form an independent V9 harmony.



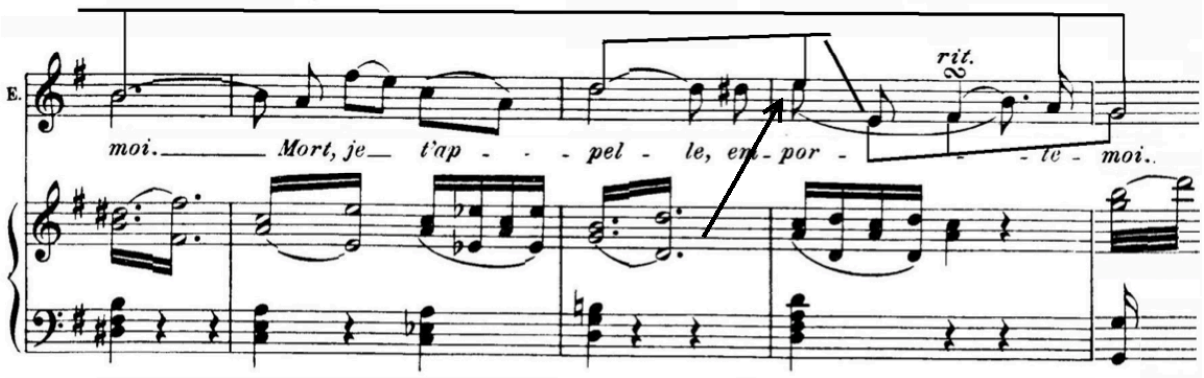
Popular 19th century dance genres found their way into the musical theatre quickly by way of opera comique, ballet, and later operetta. The famous "galop infernale" from Offenbach's *Orfée aux Enfers* (1858) provides a simple example of a direct resolution (boxed):



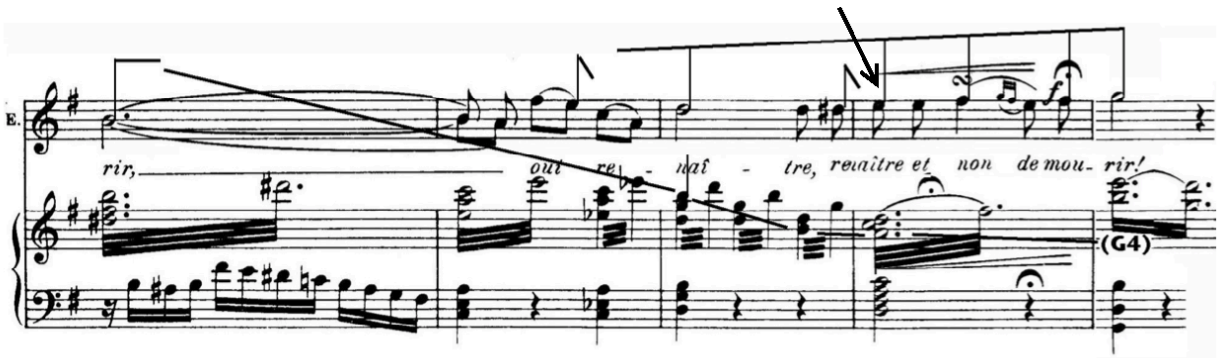
Earlier in the operetta, Eurydice is lulled to sleep (and then whisked off to Hades by Pluto). Figures here hint at what may by that time have become familiar vocal practices. The pastoral ^5-^6s over I keep going over V, resulting in a direct resolution (orchestra, bars 2-3), over which the voice superimposes a complete passing motion down from ^7 (circled). In the consequent phrase (second system below), the voice moves into an inner voice while the orchestra maintains its position at ^5 and ^6.



The design of this number is strophic; there are two verses. The cadence for the first verse offers a prominent expressive rise to ^6 and a lower register ascending line to close:

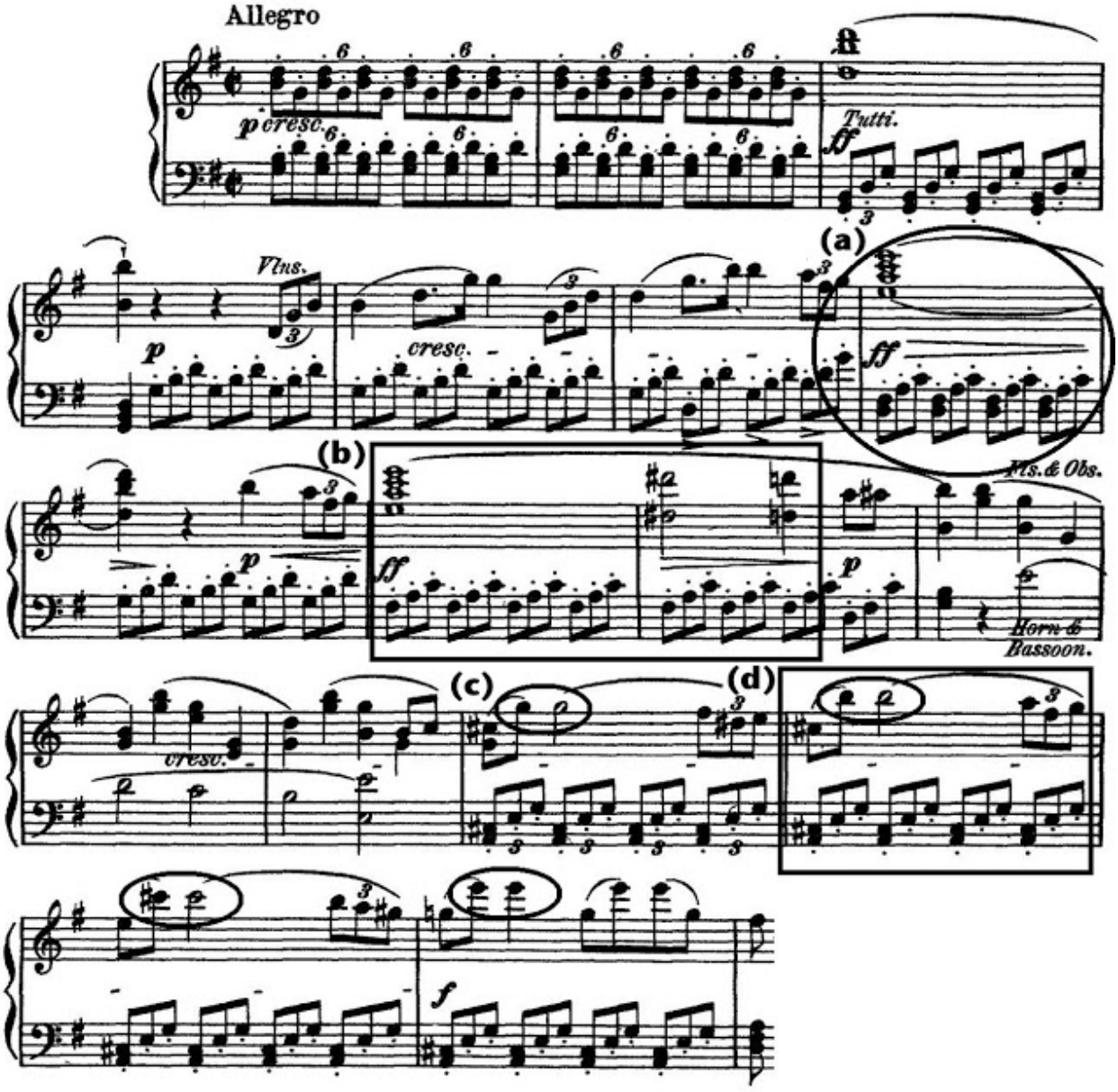


Reminiscent of Schubert's waltzes examined earlier, the cadence of the second verse takes the consequences of the expressive ^6, as it were, and continues and closes in the upper register.

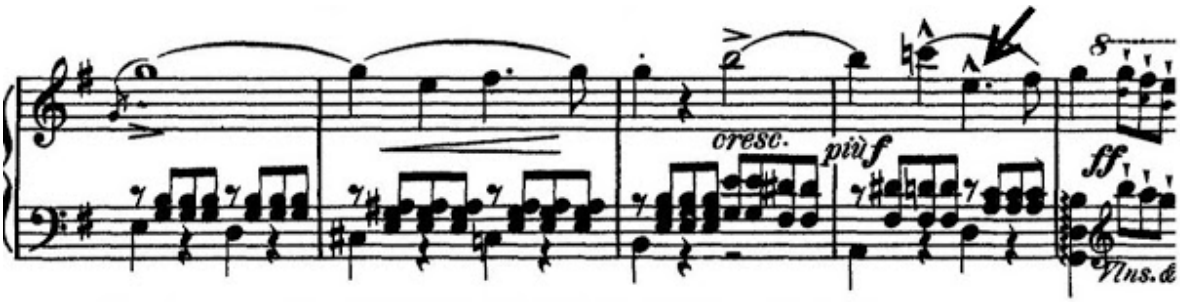


Quite a different contemporary repertoire, the Romantic opera, shows the great expressive potential (and of course availability in practice) of the ninth and V9: here is Wagner, *Tannhäuser*, Prelude to Act II (1845; 1860-61; 1875). Von Wolzogen includes this passage in his tallying of leitmotives and labels it *Glückseligkeit* ("happiness"; or in this case perhaps better as "ecstatic happiness"). The emotion conveyed is Elisabeth's joy at returning to the Bards' Hall in the Wartburg castle, and the figure reappears more than once during her salute to the Hall (and of course to the immanent reappearance of Tannhäuser himself).

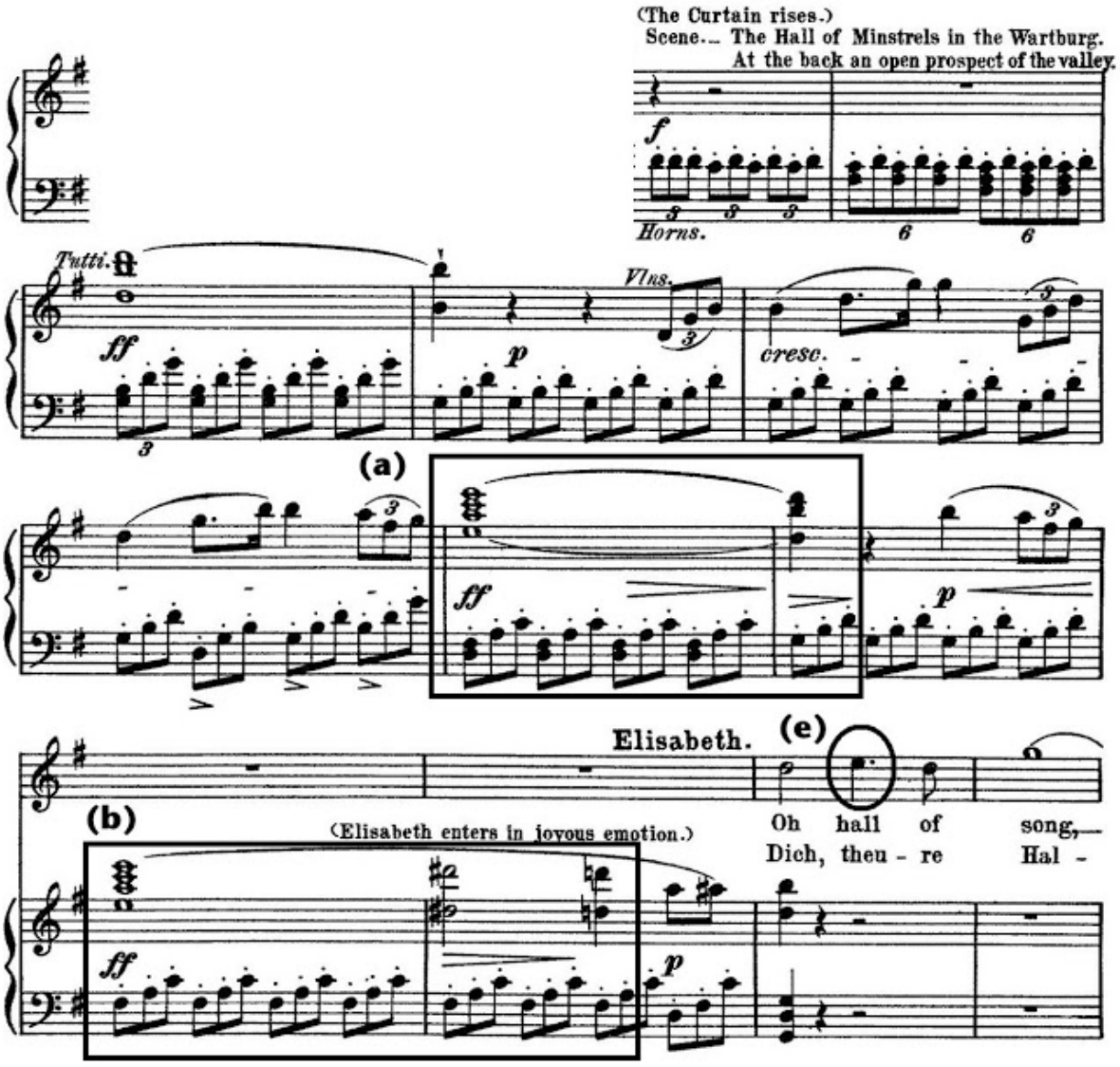
At (a) is the "undeniable" V9 chord with its direct resolution to I. At (b), perhaps the theorists' V9 without a root? I am willing to entertain the idea given the parallel to (a), but note that ^6 eventually finds its way down to ^5 before the dominant resolves. At (d), V9/V; I take this for a legitimate harmony because of the arpeggiation identified by the series of circled notes at (c)—von Wolzogen, by the way, includes these bars in his (thus rather long) leitmotif.



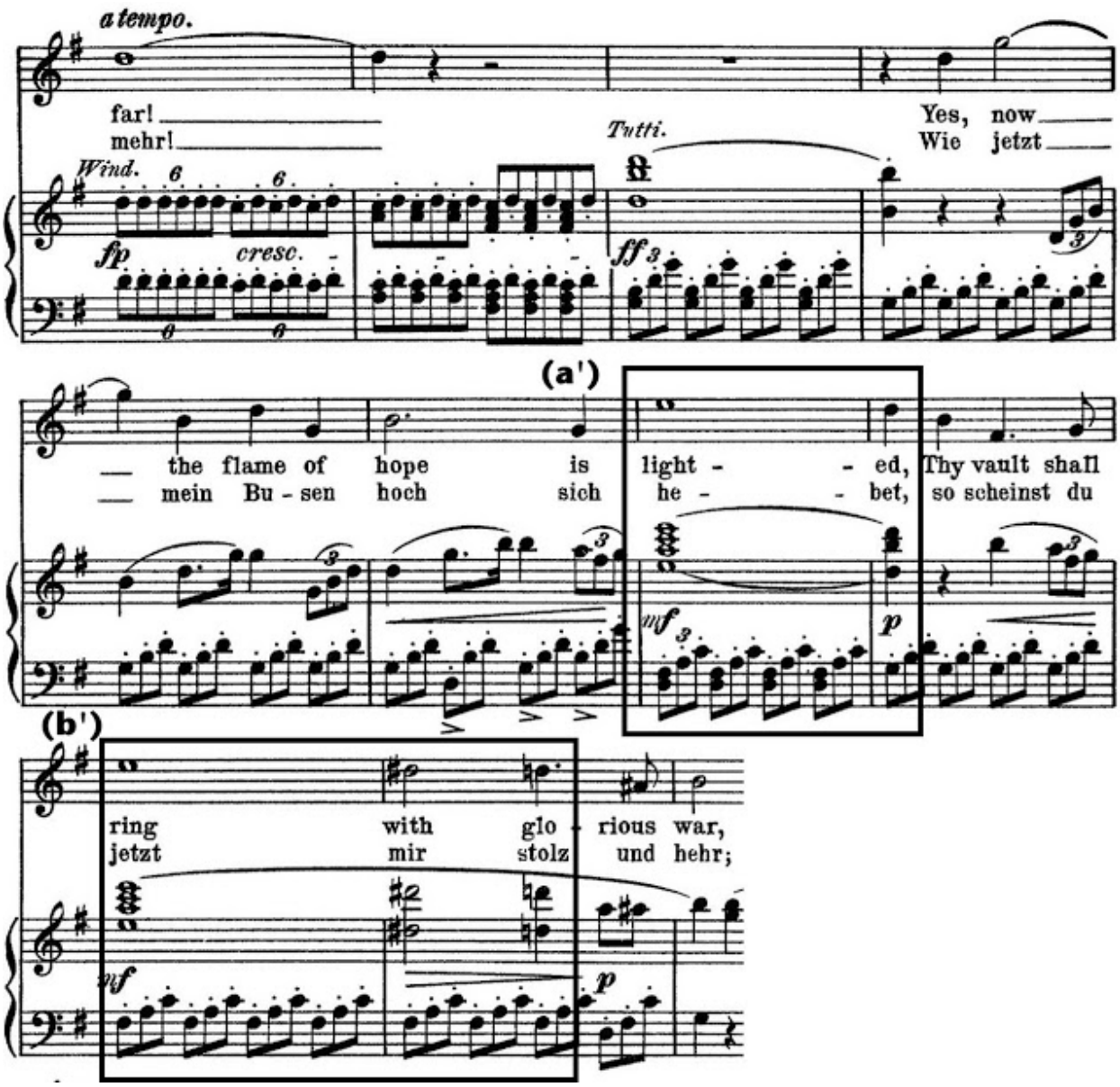
There are several "lesser" references to ^6 and V9. Here is one of them. This is again in the Prelude and involves a structural cadence:



The curtain rises, we hear the same music as the opening, including (a) and (b), and it seems clearly enough to refer to the Hall rather than to Elisabeth: she enters only at the end of the passage—but note that the very first figure she sings is a neighbor-note D5-E5-D5--at (e).



Near the end, she links herself and the Hall in the repetition of the opening passage -- quite literally, as she sings the melodic notes at (a') and (b').



The final cadence brings E5 very much to the foreground: see the example on the next page and the three instances at (f). These are all internal resolutions, but just barely. The second is the most plausible; the first and third can easily be heard as direct resolutions with embellishment.*

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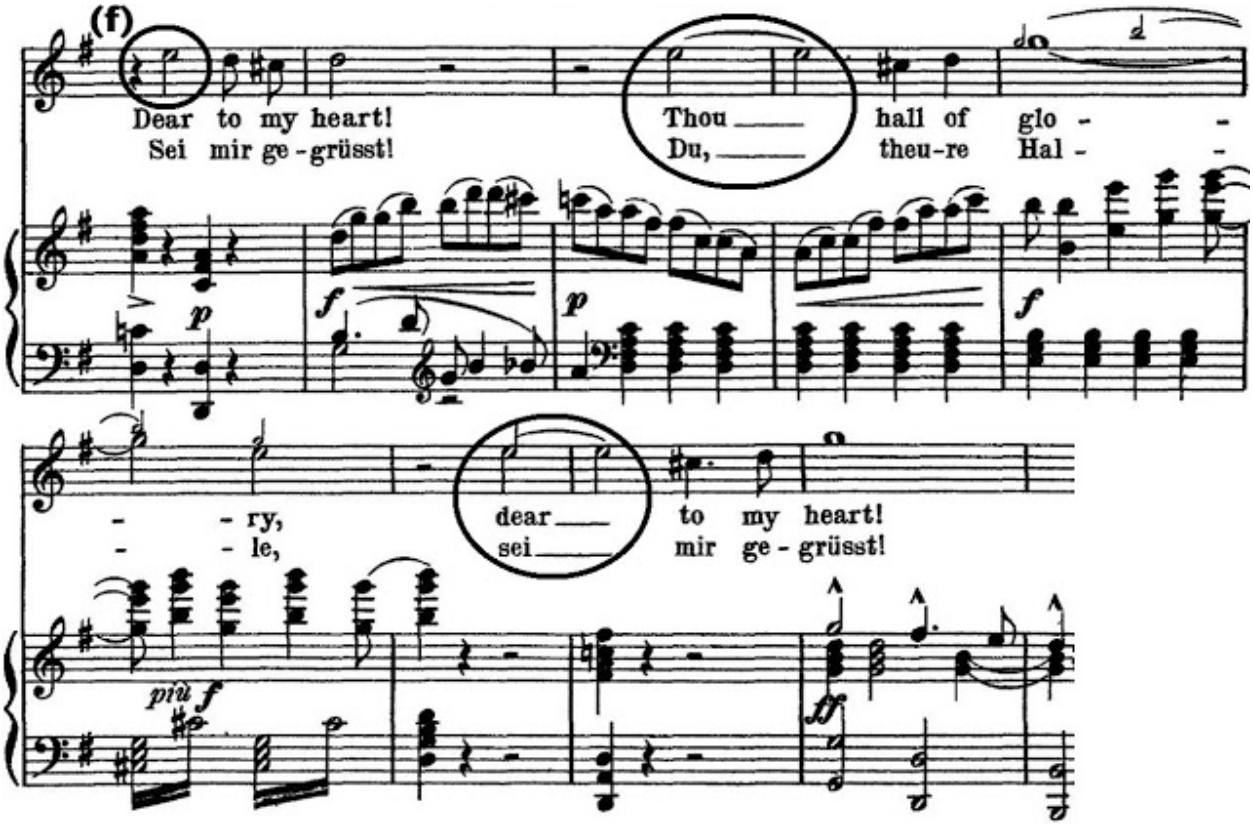
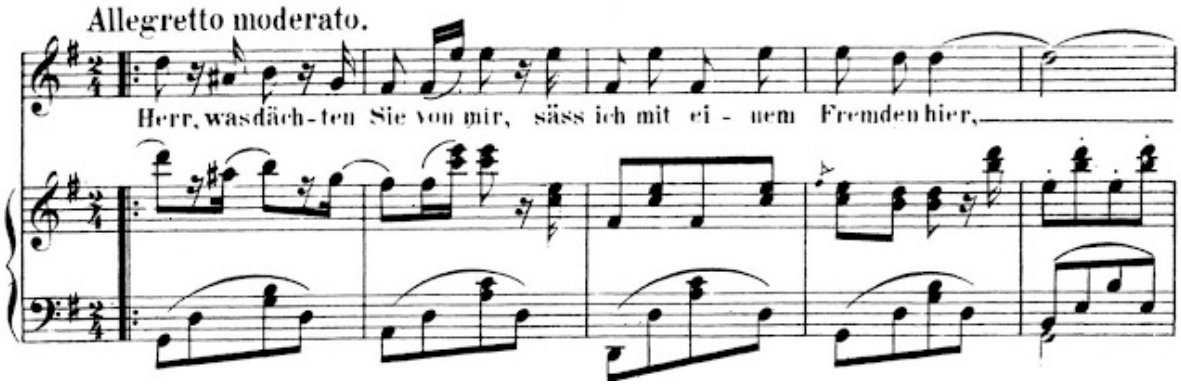
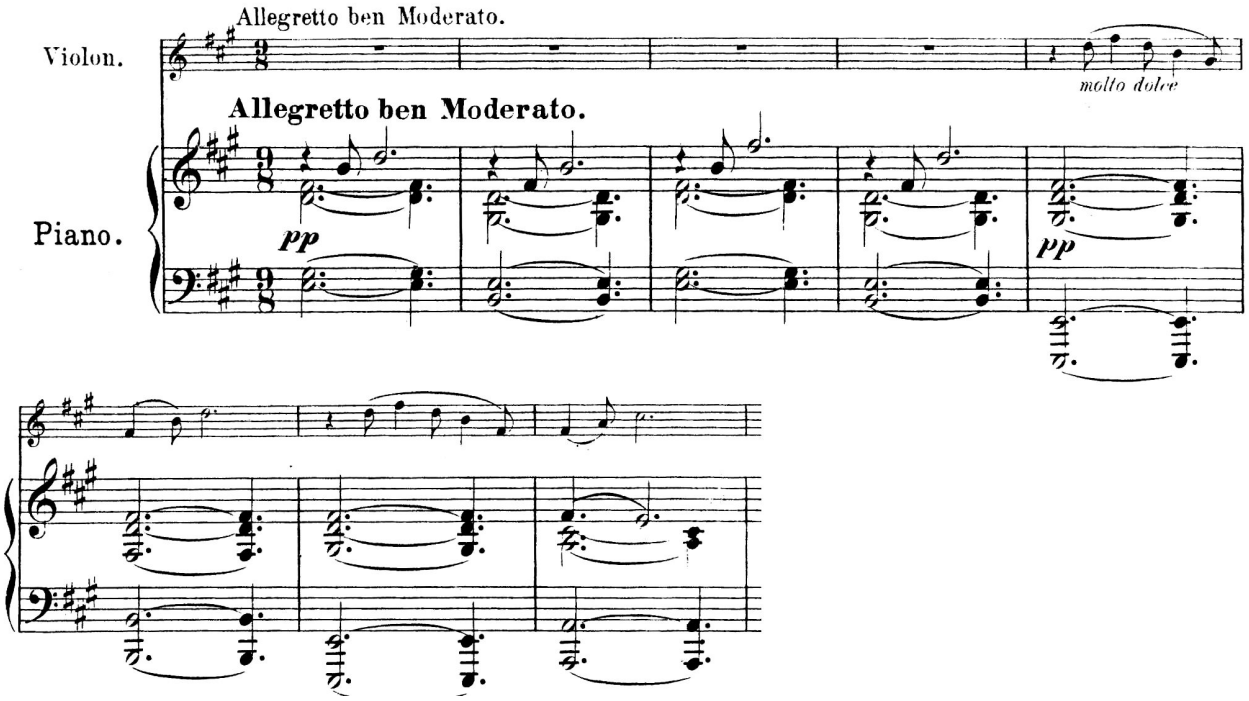
* For additional examples from Wagner operas, see posts to my blog *On the Dominant Ninth Chord*, beginning with this one: 17 September 2019.



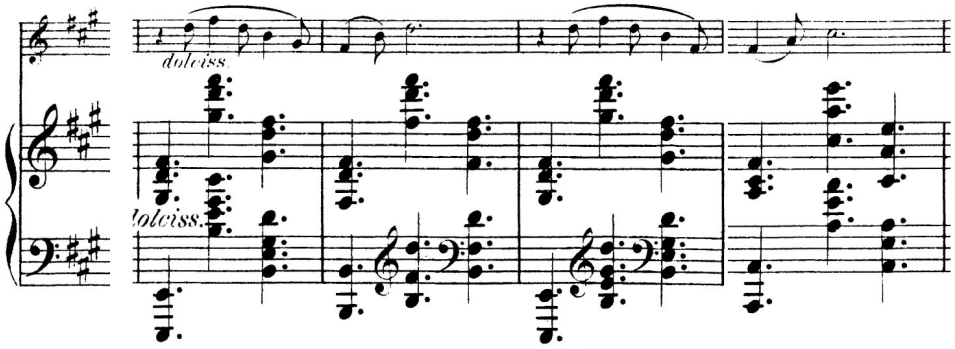
Continuing the line from operetta now, we see in Johann Strauss, jr., *Die Fledermaus* (1874), no. 5, Act I Finale, "Herr, was dächten Sie von mir," a delightful polka full of comic irony, as Rosalinda tries to convince a jailor that an unwelcome former lover is her husband ("How could you imagine I would be here with anyone other than my husband?" Etc.). See the opening below. In his operettas, Strauss often uses polkas for happy moods, expressions of congeniality, or sprightly comedy. Scale degree ^6 and the play of ^5 and ^6 are the essential elements here, but note also the Iadd6 in bar 5.



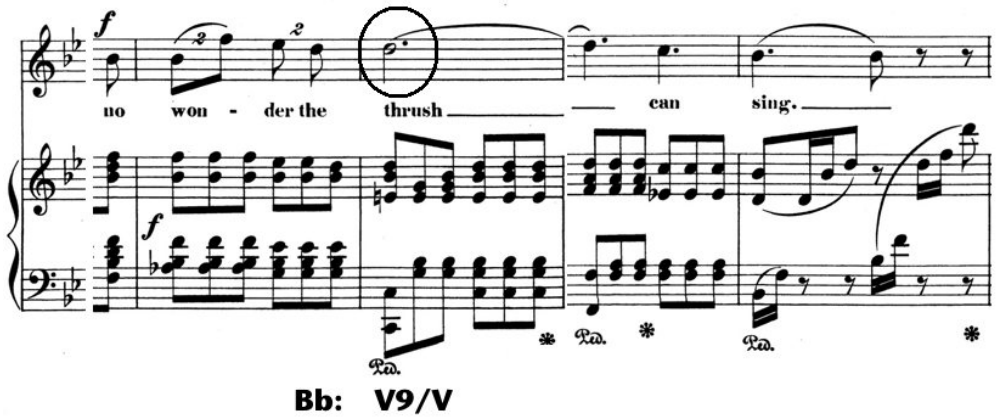
After this, or by about 1890, there is nothing unusual in the appearance of these V9s in the Franck Violin Sonata, a song by Amy Beach, and an early waltz by Debussy.



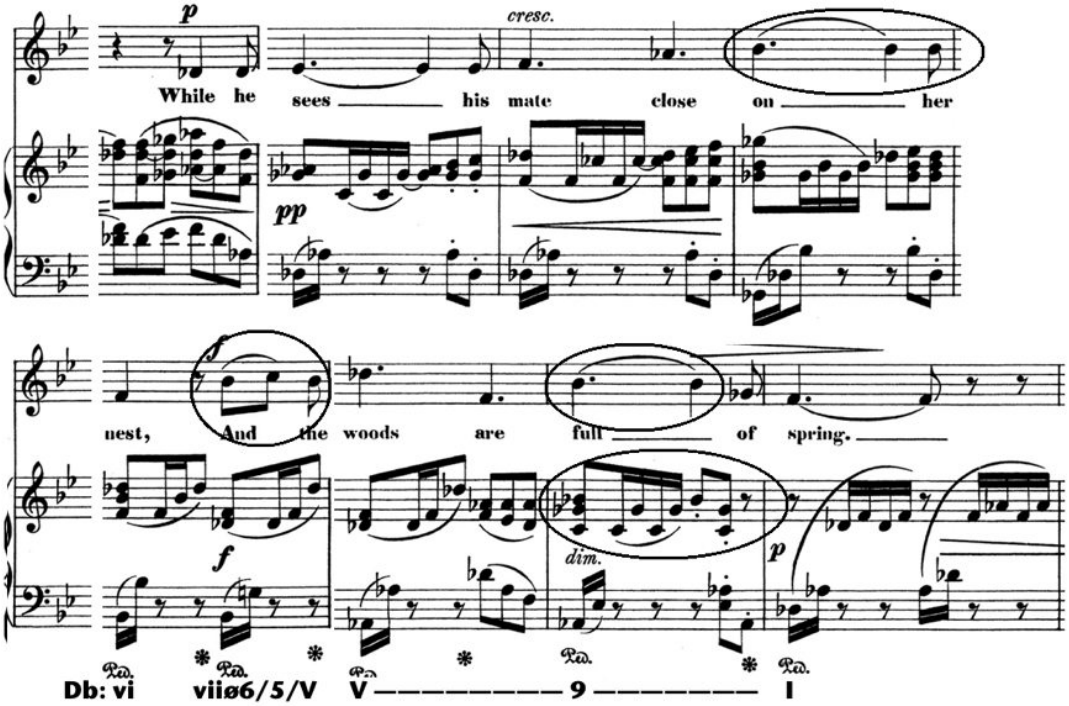
Recapitulation, beginning:



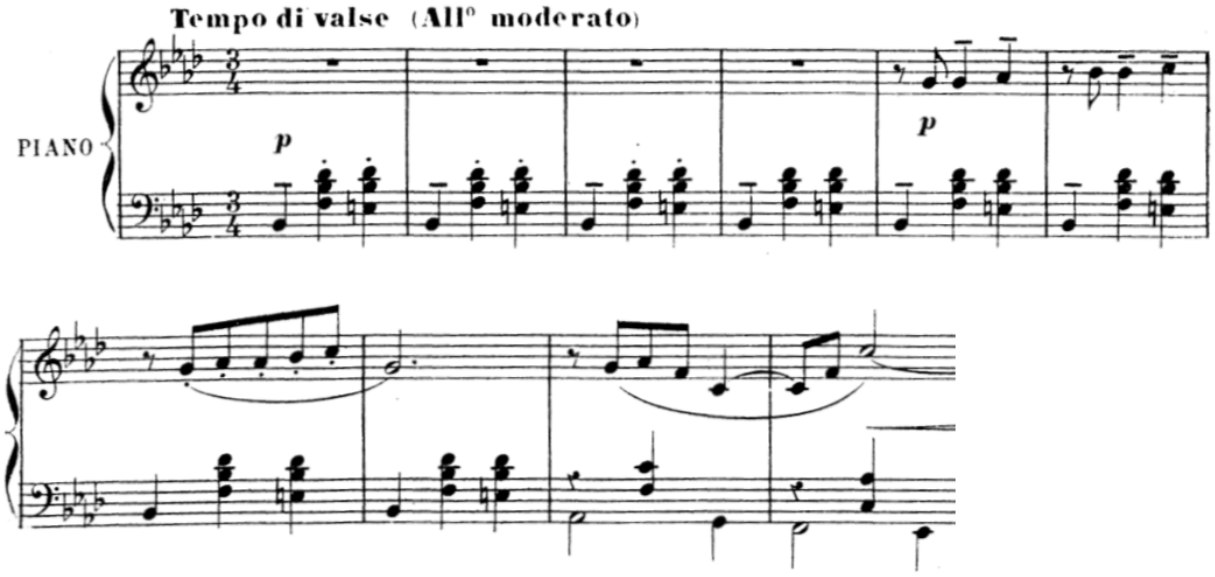
The song's final cadence; ^3 in the voice as 9 in V9/V:



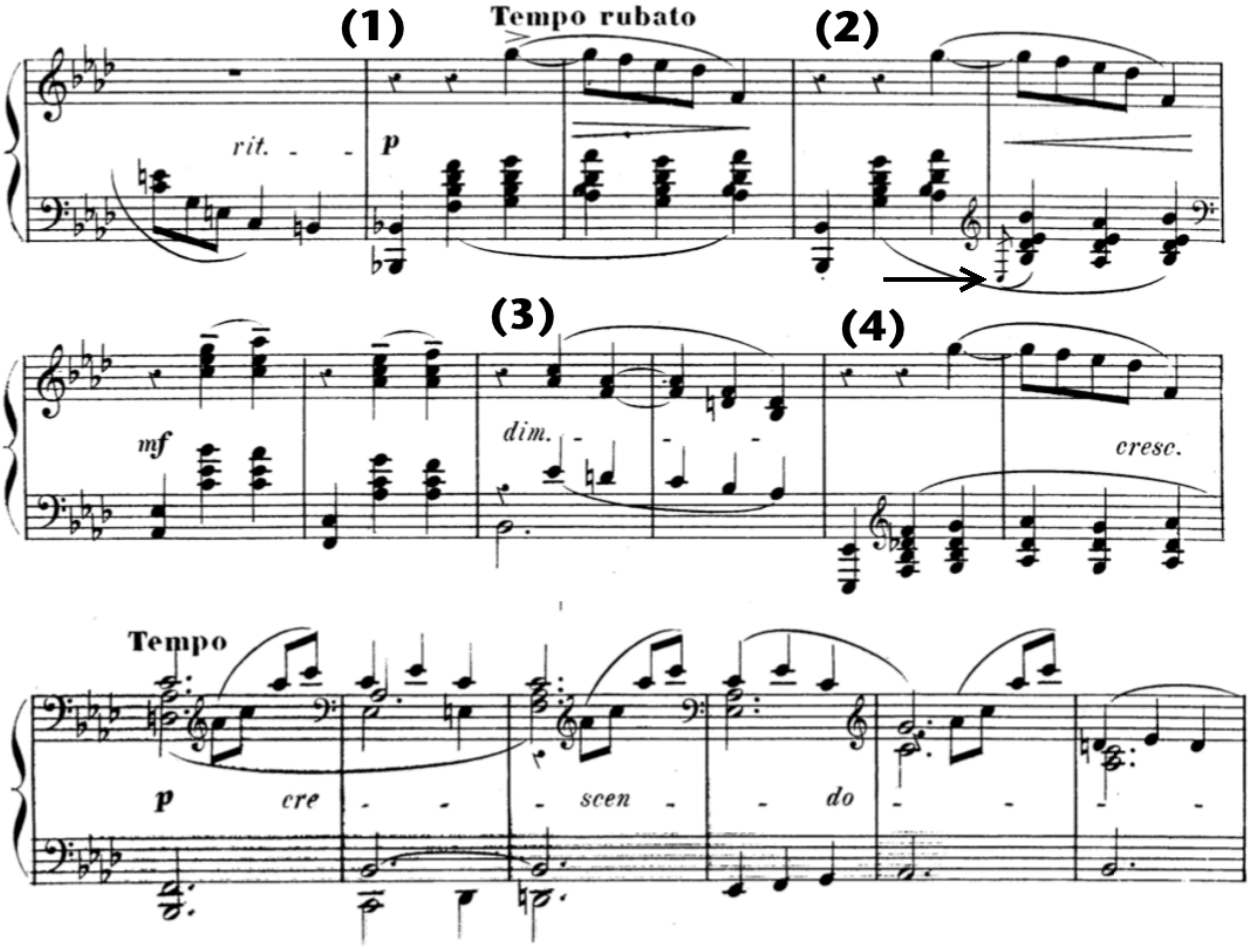
Cadence closing verse 2 (in a three verse form where the musical design is ABA overall):



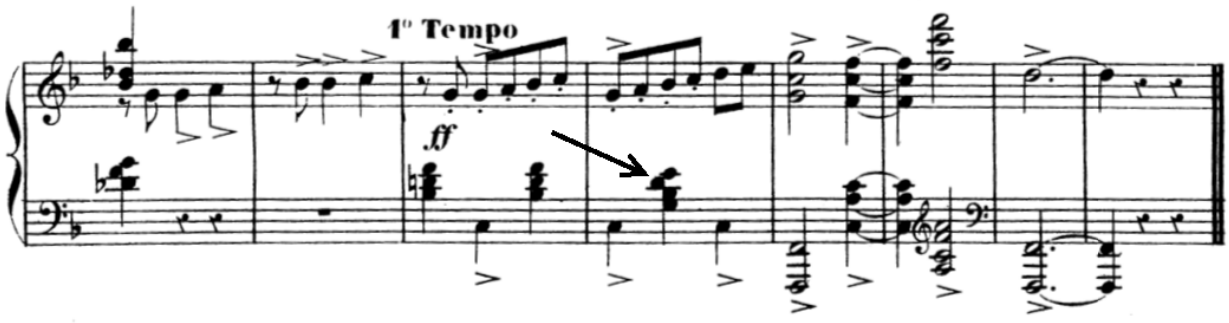
Opening of the waltz, with its ambiguous chord(s)—F minor: iv, vii°7, iiø4/2?:



First return of the theme (A-section, part 2). At (1), the ambiguous chord but without E-natural. At (2), the Eb bass note renders the figure as Ab: V9. At (3), V9/V. At (4), firmer presentation of (2). In the last system, V9/V again.

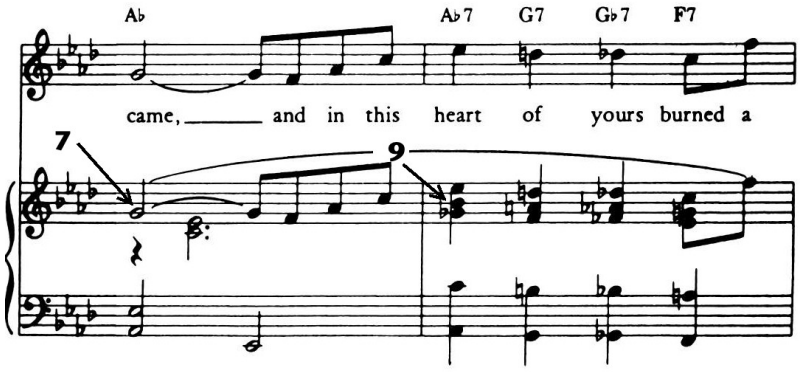


Ending, with F: V9 as the cadential dominant:



In his brief article on the ninth chord for *Oxford Music Online*, Julian Rushton writes that "The common functions of 9th chords and 11th and 13th chords reflect their construction and interpretation as upward extensions of triads and 7th chords." This is an accurate description of these chords as used in jazz, with its extensions or "tensions" of the 7th chord, but the earlier development and uses of these chords in the 19th century separate them into two groups: the 7ths and 9ths, and the 11ths and 13ths. The first pair are linked in terms of the "frozen" passing tones mentioned earlier. The second pair came about from substitutions in an upper voice over V7: in the 11th chord, ^8 replaces ^7; in the 13th, ^3 replaces ^2 (or ^10 replaces ^9). Thus, Rushton's statement that "in tonal music up to about 1900 . . . the 7th seems to have been the upper limit in chordal consonance" is not correct if by "chordal consonance" we mean what I call "independent chord" or "harmony." Further, although it is certainly true that "composers often used 9th and 11th chords for extra power, particularly at climaxes or final cadences," one cannot say that "they invariably treated one or more notes in the chord as appoggiaturas." This last was indeed propounded by some treatise and textbook writers, but it is not an accurate reflection of practice, as the many examples in my previous essays and in this introduction will have shown.

Although I won't be able to document it, because my study depends on music available in the public domain and thus stops at 1924, the current US copyright barrier year, there was certainly a move in the direction of Rushton's description of current practice, and it was well underway no later than the early 1930s. A trace can be seen in a brief excerpt from the published sheet music edition of Duke Ellington's "Sophisticated Lady" (1933):



I don't know whether Ellington himself wrote the piano arrangement—it was already the case more than a hundred years earlier that publishers kept in-house arrangers whose work was rarely if ever credited. In any case, Rushton's characterization of extensions is as plainly illustrated as it could be here. The chord symbol indicates an Ab-major triad but the voice has a seventh, for AbM7. In the chromatic planing of the second bar, the voice has the fifth of each chord, the symbols say a dominant seventh chord type, but the piano extends that to a ninth.

In the following, we will see the broad changes of practice that lead in the direction of Ellington's present, in a sequence from the most conservative practices—little different from the 1850s—to popular songs in the 1920s and to Debussy and those influenced by him.

* * *

3. Categories of treatment of the ninth (1): harmony*

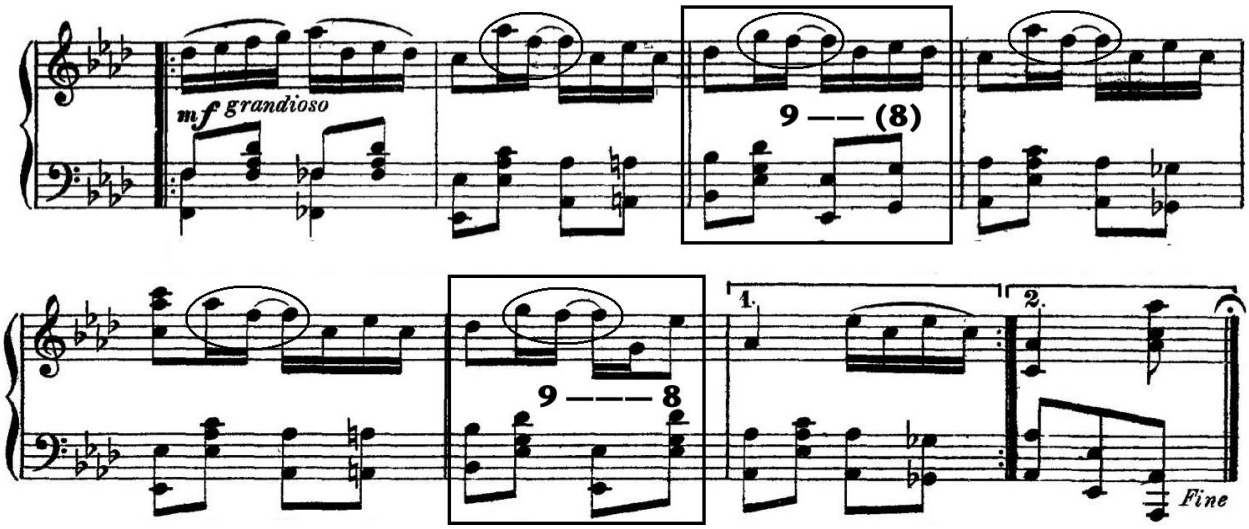
In one of the early posts to my blog *On the Dominant Ninth Chord* (link to that post), I set up categories for treatment of the 9th. They were:

1. Internal resolution (within the V chord)
   1.0. Element of melodic shape (step)
   1.1. Element of melodic shape (leap, off the beat)
   1.2. Element of chord, weak beat
   1.3. Element of chord, strong beat
2. External resolution (to the following chord, usually I)
   2.1. Indirect resolution to ^5
   2.2. Indirect resolution to ^6
   2.3. Direct resolution to ^5 or ^6

The careful distinctions under 1 were necessary for a sufficiently nuanced account of the treatment of the ninth in the first half of the 19th century and of some V9–Iadd6 pairings after about 1850. A simplified list that I have used for most music after about 1860 distinguishes between internal and external resolutions and, within the latter, indirect and direct resolutions. Here are examples of each of these types from this essay.**

Internal resolutions:

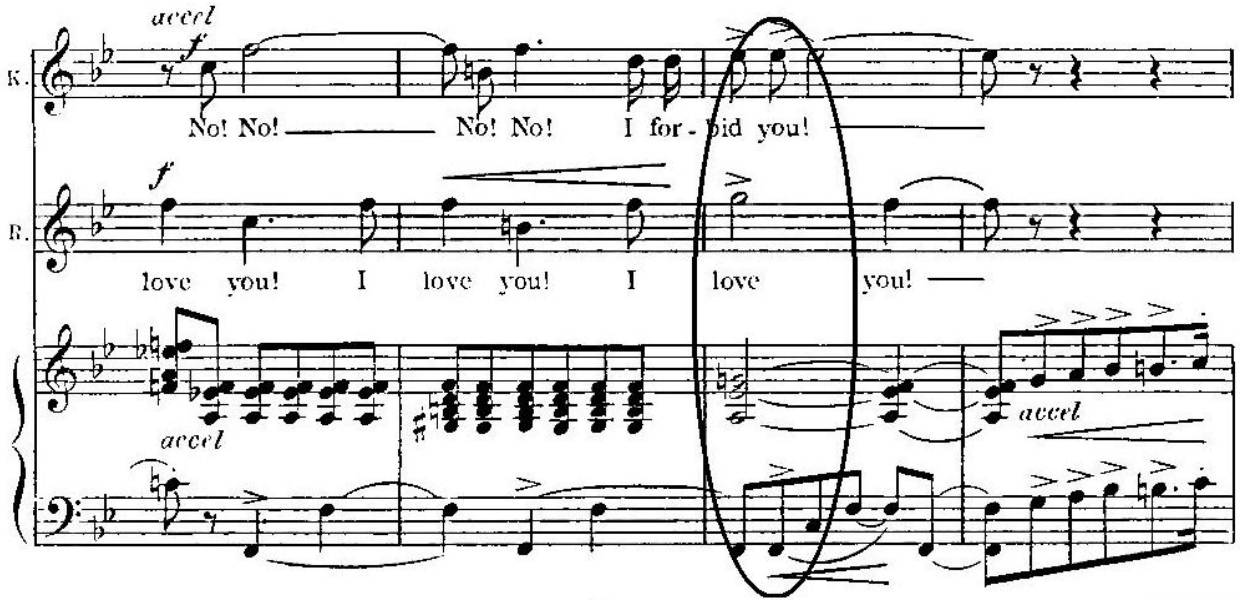
Scott Joplin, *Leola* (1905), Trio, second strain: see bars that are enclosed in boxes.



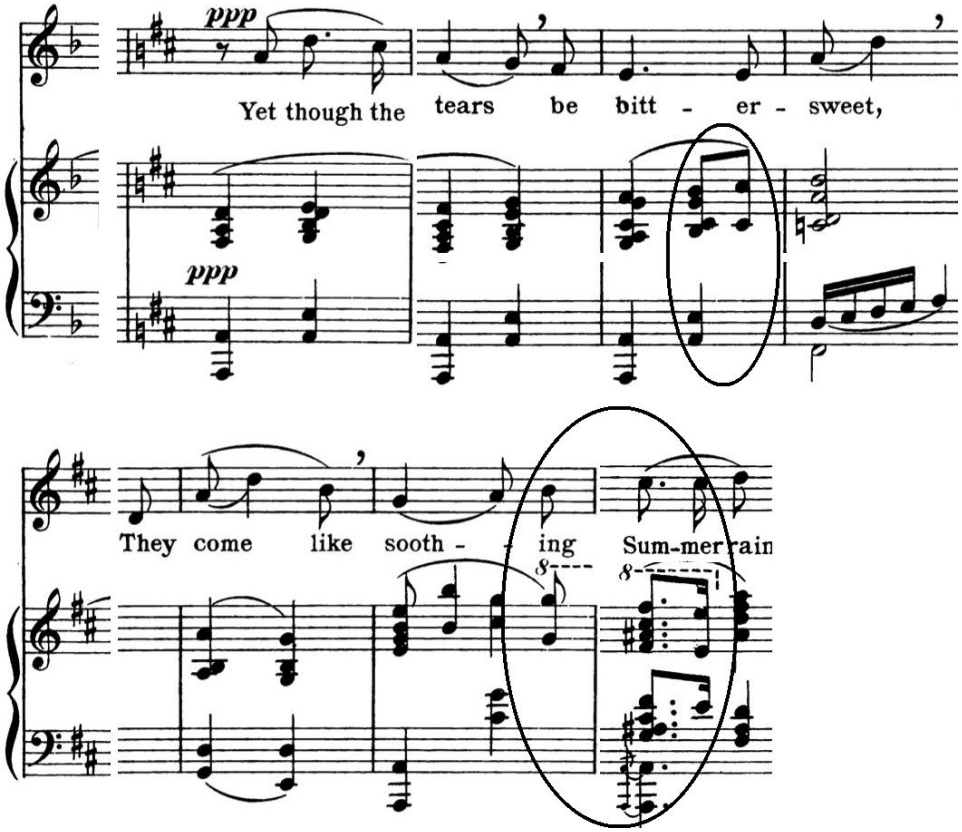
*For sake of reference, this section is repeated in the introduction to Part 2.

**Also see multiple examples of internal and external resolutions in the introduction to my essay on American songs, pp. 4 ff.

Here is another, from Victor Herbert, *Orange Blossoms* (1922), in the Act 2 finale.

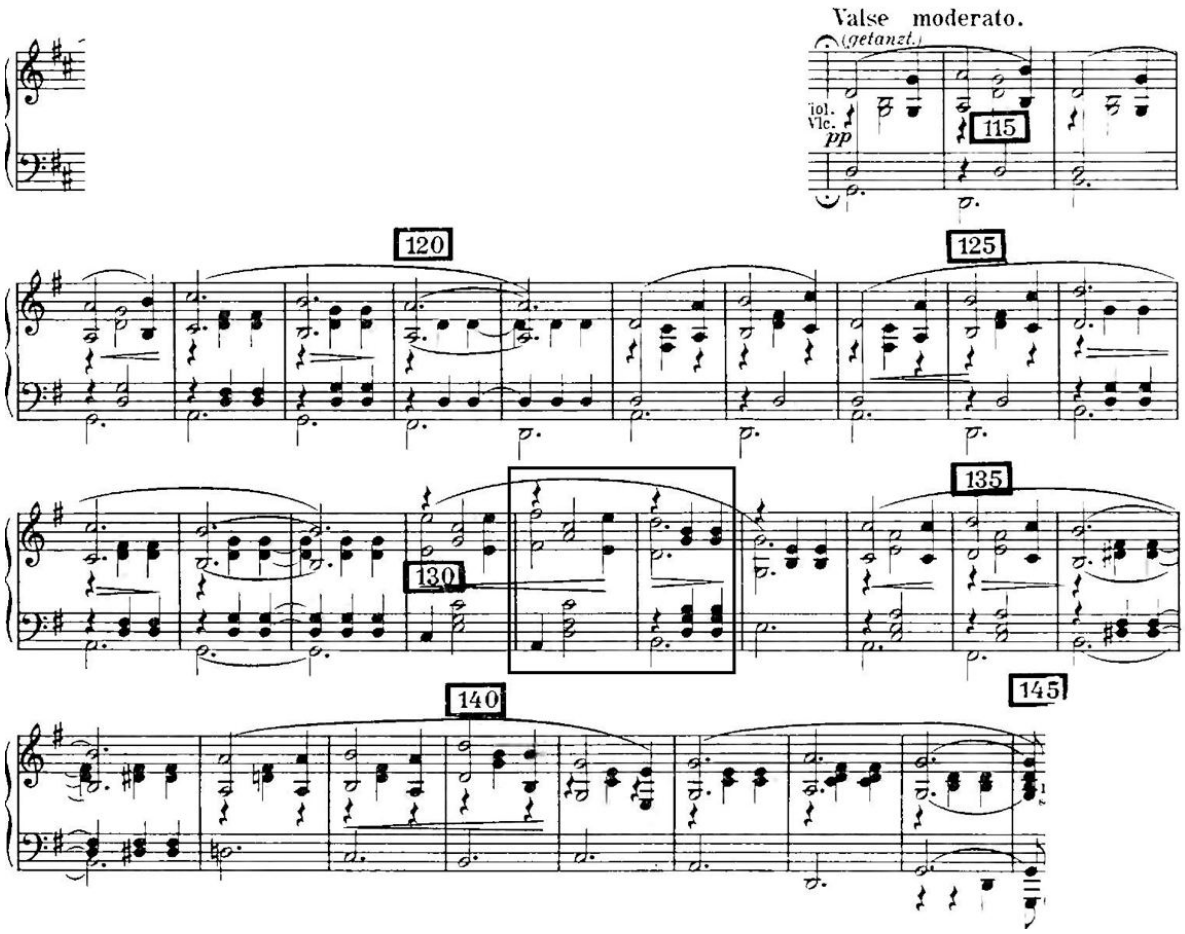


Internal resolutions occasionally take the ninth upward to the tenth, or third of the dominant harmony, as here in two examples from the final verse of a song by Edward MacDowell, op. 60, no. 2 "Fair Springtide" (1902).

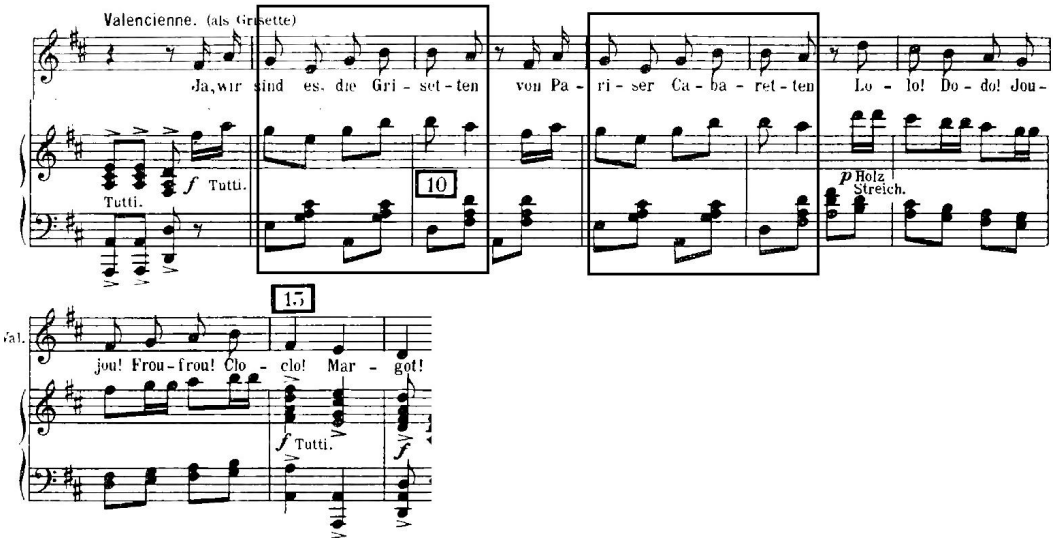


External resolutions, direct:

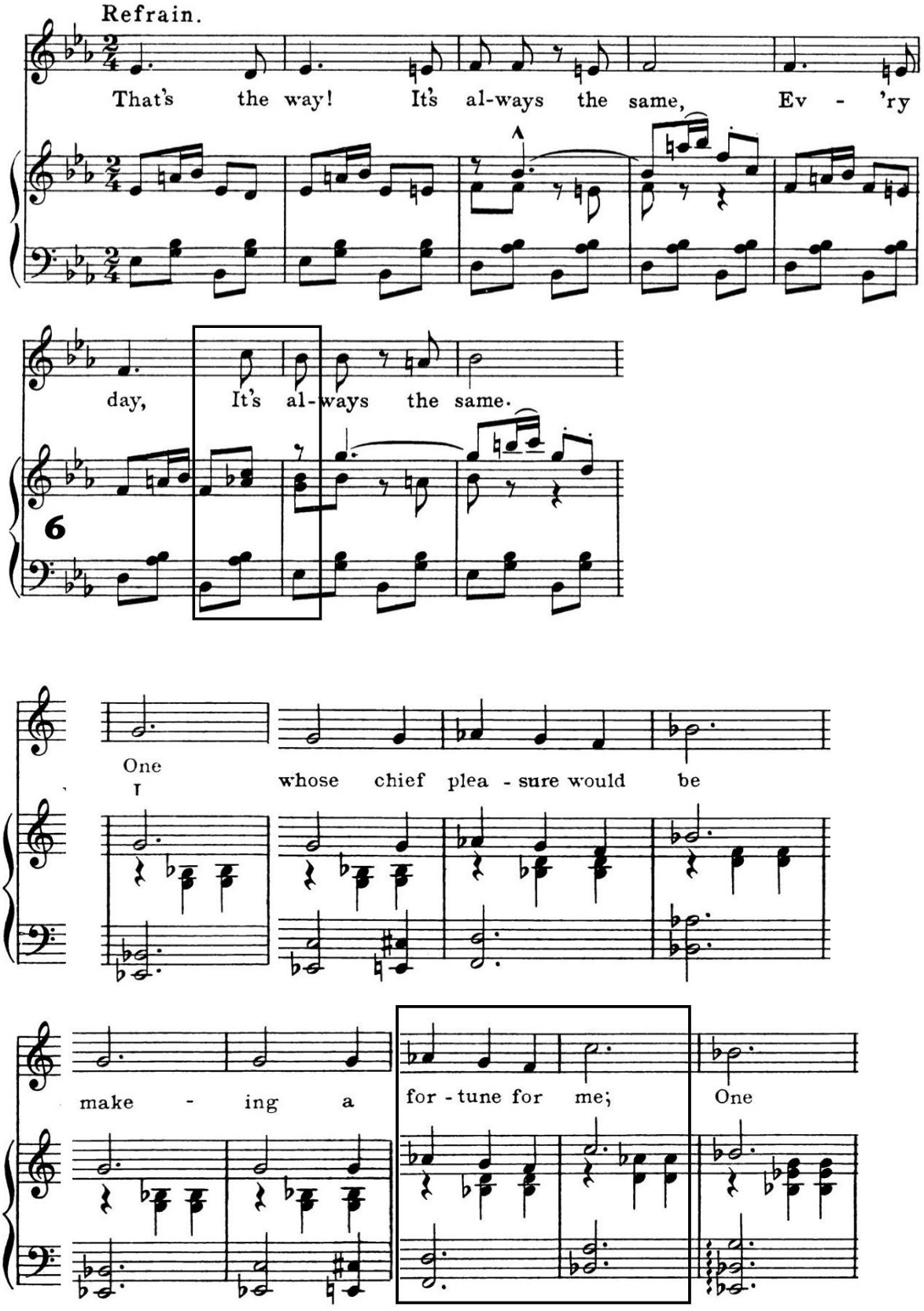
Surprisingly, given the importance of the dominant ninth to the waltz repertoire, the famous "Merry Widow" waltz from the eponymous operetta by Franz Lehar (1906) has only one, but it is a sweetly expressive moment:



Repeating ^6 over the resolving tonic is quite common, as here in a can-can from Act 3.

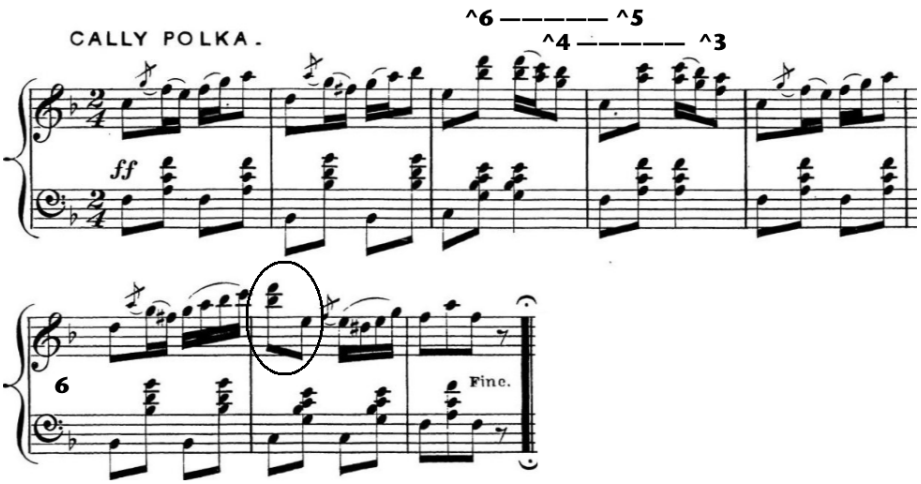


Here are two simple examples of direct resolutions from the first two numbers in Jerome Kern's *Have a Heart* (1917).

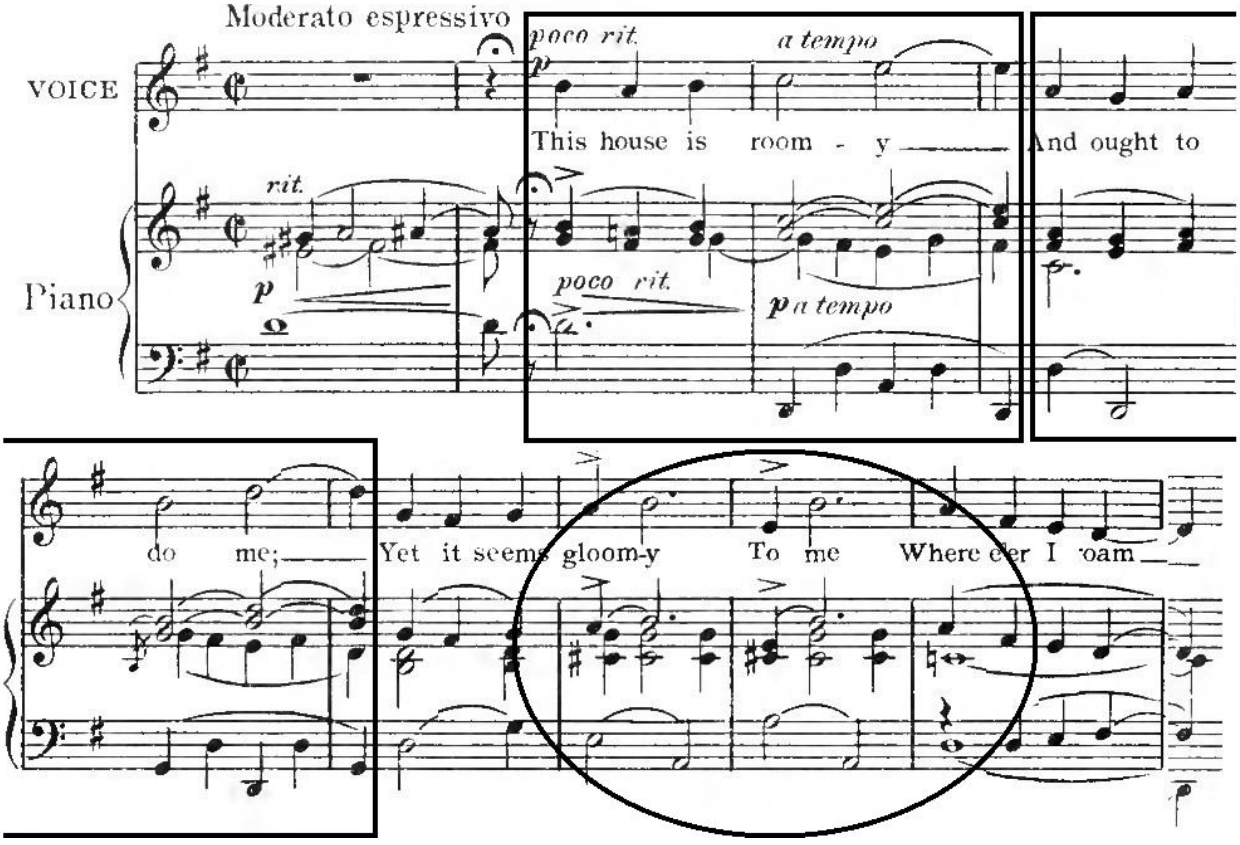


External resolutions, indirect:

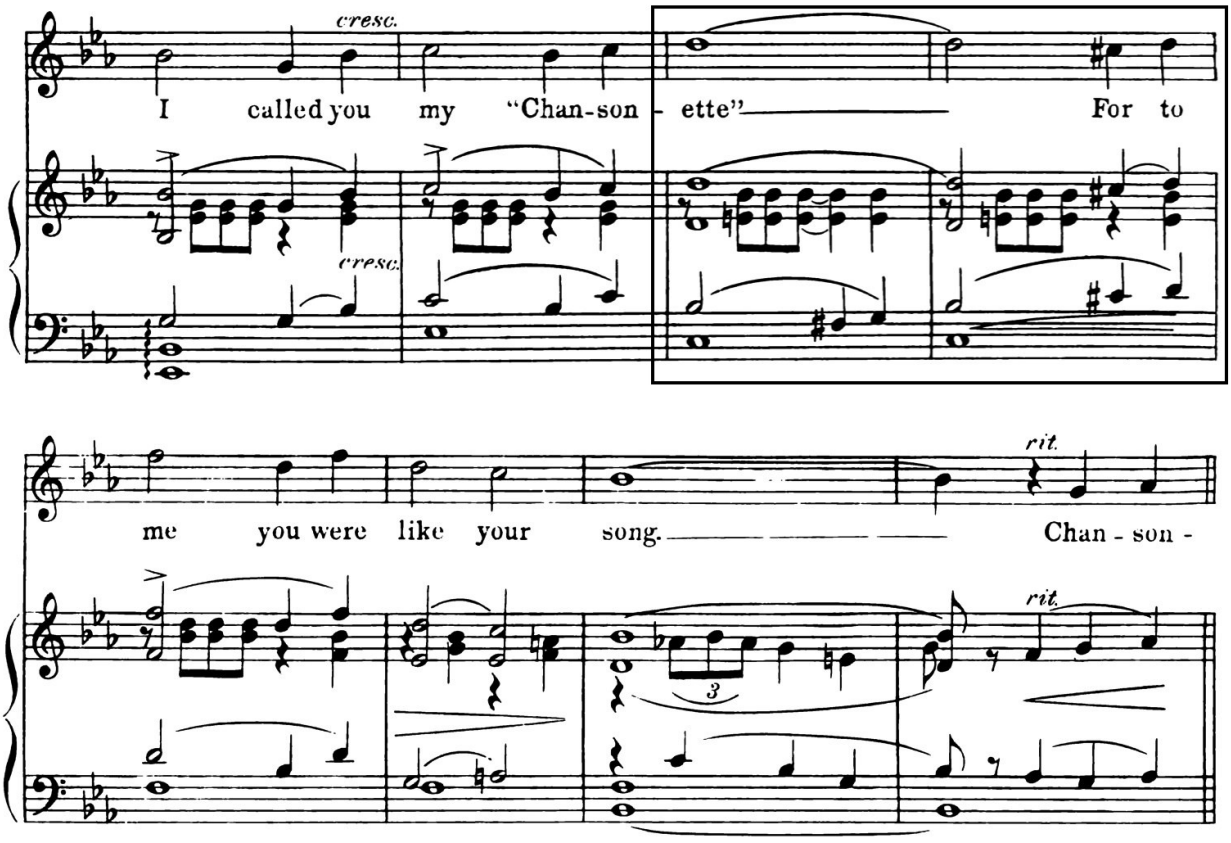
These arise when ornamenting notes intervene or intervals are unfolded, most often ^4/^6–^3/^5, as in the opening number of *Dodworth's Polka Quadrilles* (1850), bars 3-4.



Indirect resolutions also are frequently involved in parallel figures, which can be bar-to-bar, as above, but can stretch out to 2, 4, or even 8 bar levels. Such parallelisms are in fact one of the hallmarks of the waltz repertoire. The example below, however, is the 4/4 opening of the verse in "The Lonely Nest," also from Herbert's *Orange Blossoms.*

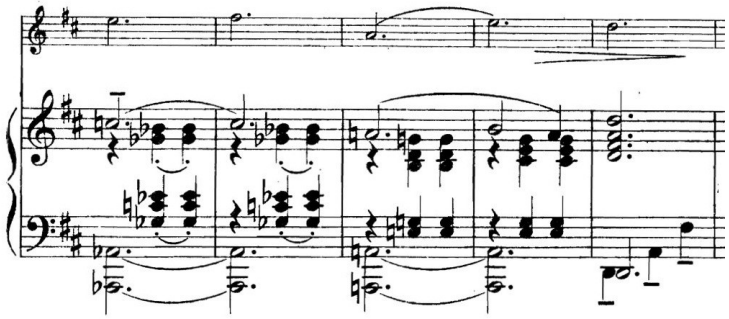


Special figures mentioned at the beginning of the introduction include the expressive V9 and V9/V in the approach to a cadence, and the major dominant ninth chord as the cadential dominant. Here is the former near the end of the verse in Rudolf Friml's popular song "Chansonette" (1923).

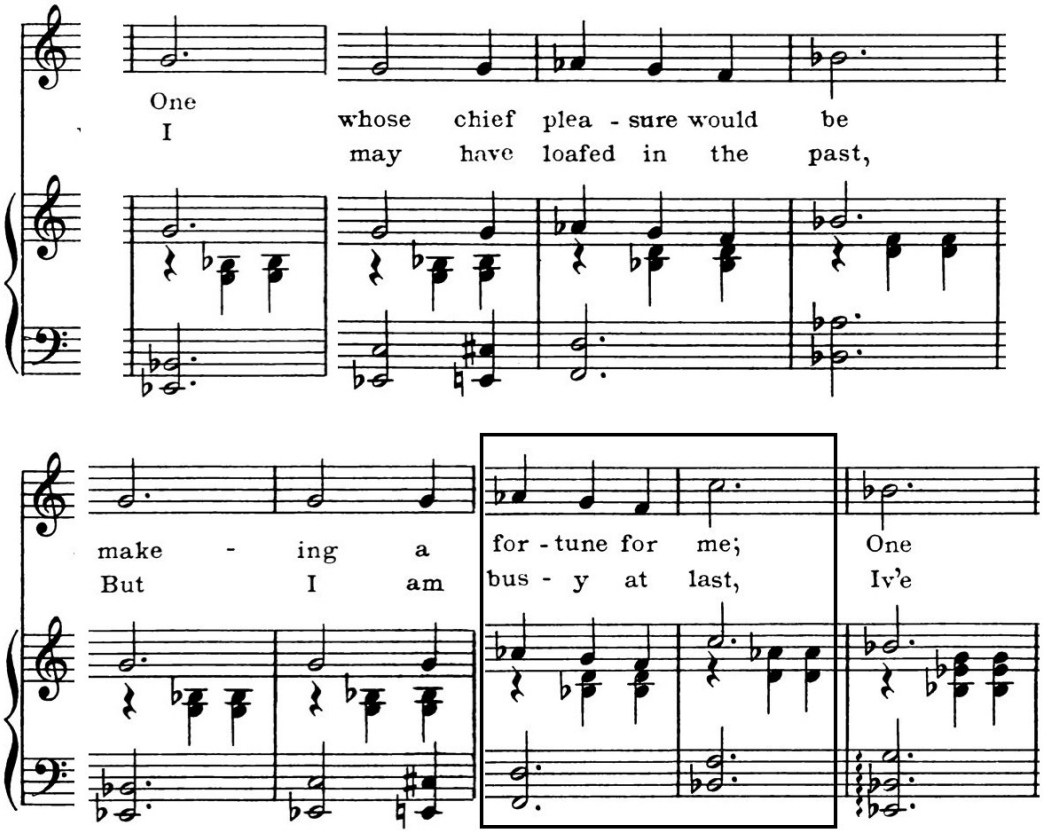


For the major dominant ninth chord as the cadential dominant, see again "The Lonely Nest" from Herbert's *Orange Blossoms* on the previous page: the circled G: V9/V with the V7 that follows closes the antecedent of the verse's 16-bar theme.

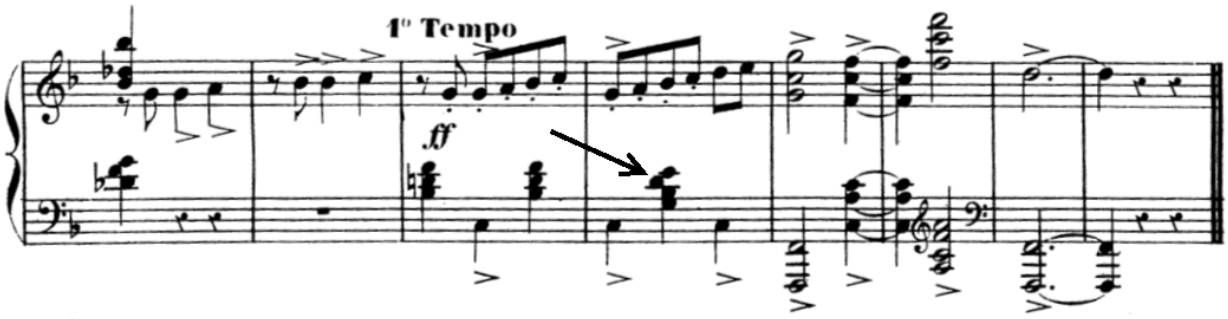
Here is the cadence ending the 32-bar theme of the first waltz in Cyril Scott's *Valse triste*, op. 73, no. 3 (1910). The emphasis on the ninth combined with an internal resolution is very common in cadence figures.



A V9 ends the antecedent phase in the verse of "I'm so Busy," the second number in Jerome Kern's *Have a Heart* (1917). The direct resolution overlaps into the beginning of the consequent (bar 9 in the example).



And, finally, once again the ending of Debussy's *Valse romantique* (1890).



4. Note on chord types, repertoire, and format

By way of a postscript to this introduction, a reminder that I am only writing about the dominant seventh with major ninth, or what I call here the "major dominant ninth chord." The dominant seventh chord with minor ninth already had a place in 18th century music and is quite a different expressive entity, even though as a harmony it functions as a V in the same way as the dominant seventh with major ninth. Nor am I concerned with the non-dominant ninth chords —these differ substantially from the dominant ninths and play only a very small role in 19th century music before about 1890.

With one exception (a song by Rudolf Friml), I am also excluding the dominant ninth with altered fifth. These chords begin to appear with some frequency in the 1890s. The version with raised fifth is more common; so in C major G-B-D-F-A becomes G-B-D#-F-A, which conveniently happens to form a whole-tone scale pentachord: D#-F-G-A-B. Less common is the dominant ninth with lowered fifth, so: G-B-Db-F-A. This one, too, can be spelled in scalar form as a whole-tone pentachord: F-G-A-B-Db. (The dominant *seventh* with a lowered fifth, on the other hand, is used more often, notably by Richard Strauss but also by others—it has the property that it can be heard as a dominant, so V7(b5) in C major, but also as an augmented sixth chord that could force a reinterpretation of I as V/IV. The latter treatment can already be found in the 18th century—Mozart, for one, was fond of it.)

* * *

A note on repertoire: the great majority of my examples come from small-scale pieces—piano music, songs, or piano editions of ensemble music. It is far easier to make assessments about the role of specific chords in shorter rather than longer movements. For larger stage works, I have relied entirely on piano-vocal scores. The reason is practical: I wished to look at a fairly large number of compositions, and one can spot ninth chords on a grand staff more readily than on an orchestral score. Further, I make no comments on voicings where I would have been obliged to consult a full orchestral score.

* * *

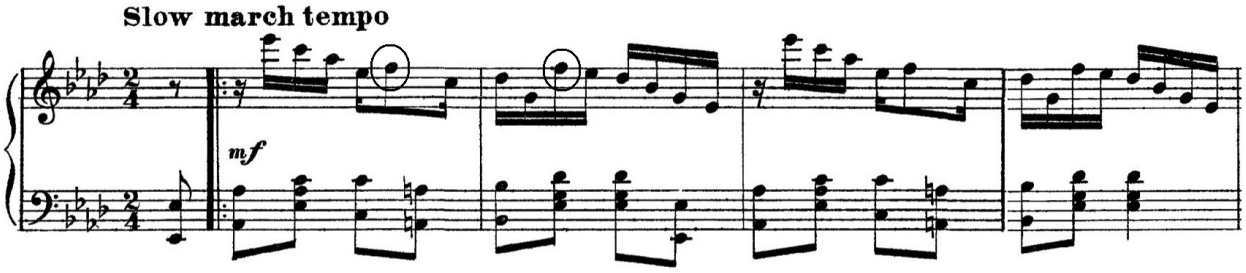
A note on format: for many examples in Part 1, I provide score annotation without text commentary, as these largely duplicate figures already discussed in previous essays and in my V9 blog, including internal and external resolutions, parallelisms of ^6 over V and I, and expressive emphasis in climaxes and closing cadences. The point of this additional work is to suggest the extent of these practices through a variety of examples, not to make special claims about these particular instances.

The situation is quite different in Part 2, where the often radically different techniques and priorities of the French and American Impressionists require some explication. Composers represented there are Debussy, Lili Boulanger, and Charles Griffes.

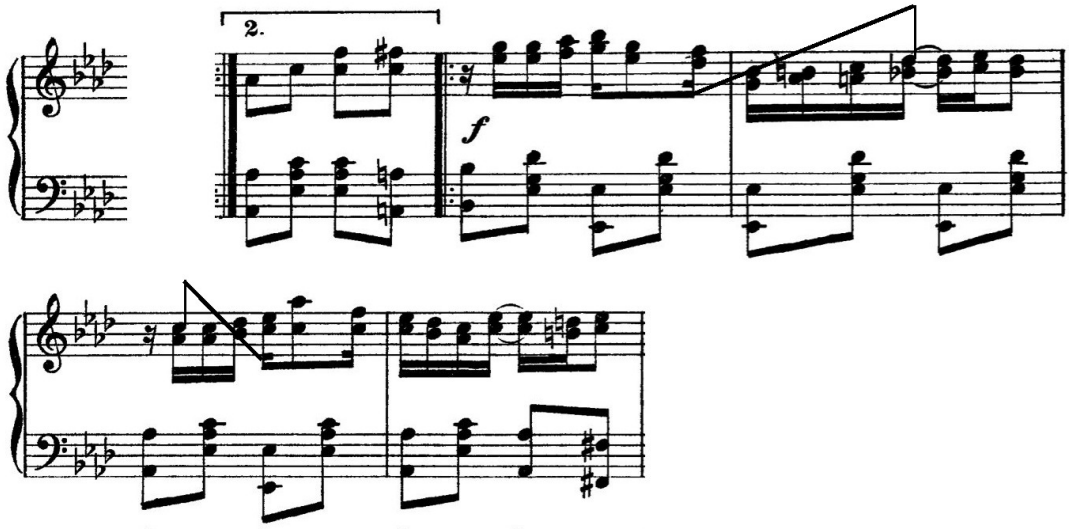
§ 1: Marches and Rags

Joplin, *Leola* (1905)

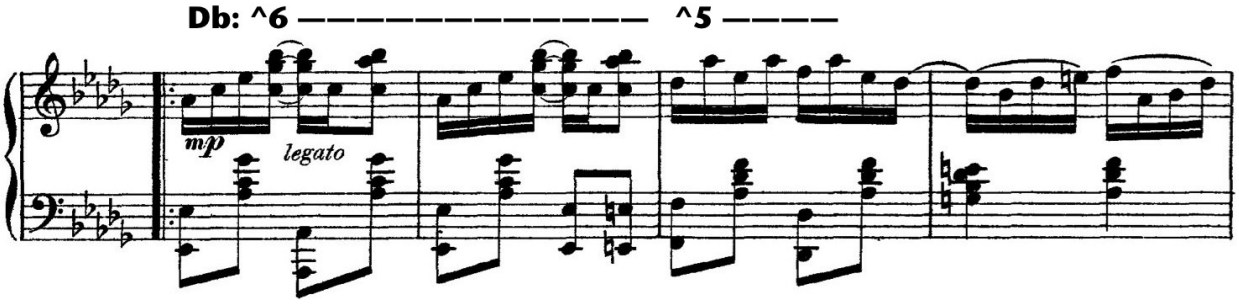
The opening:



The second strain:

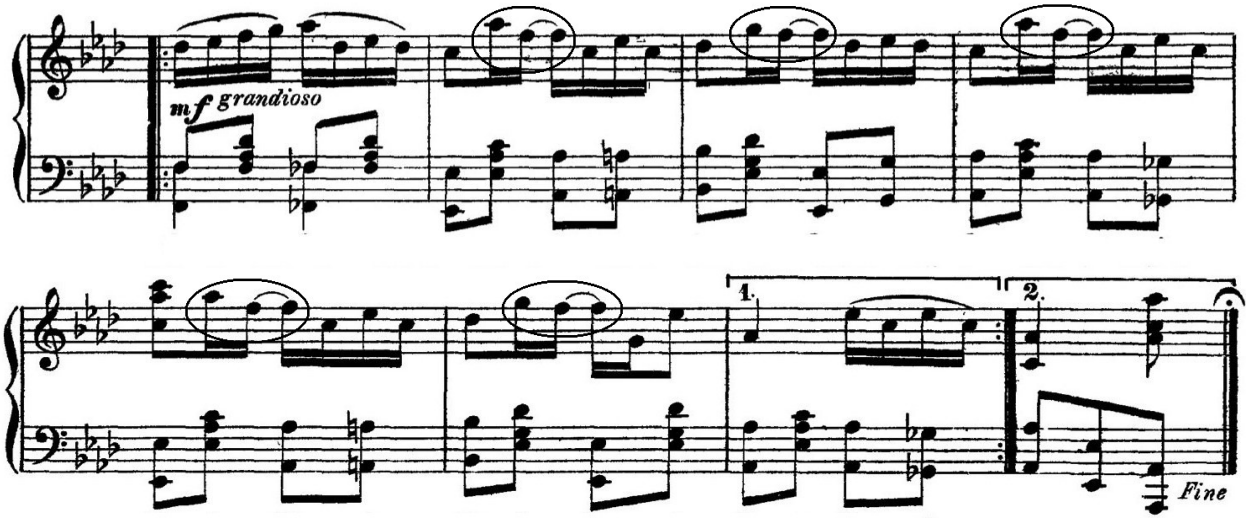


Trio, first strain:

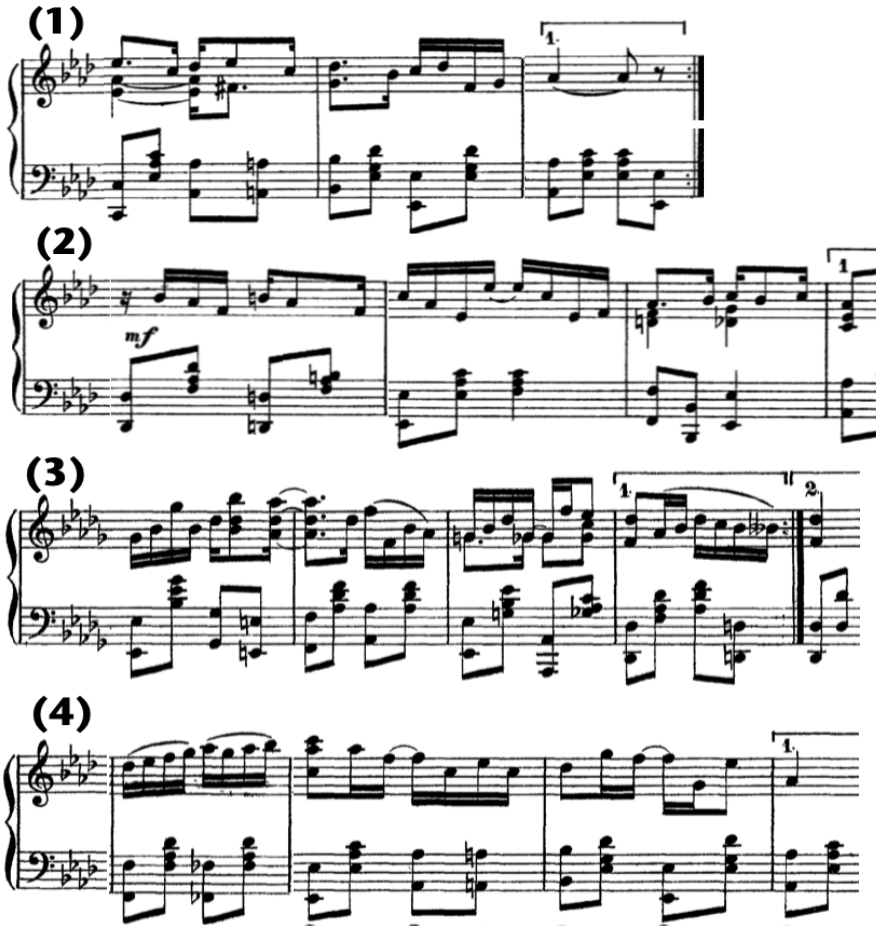


(Joplin, *Leola* (1905), continued)

Trio, second strain:

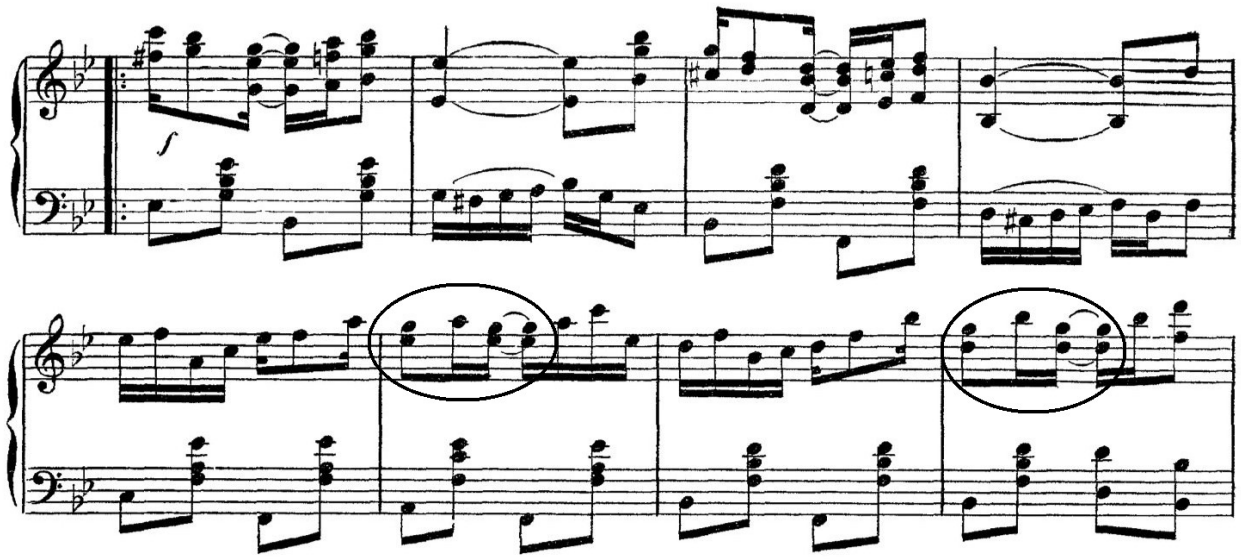


The four closing cadences:

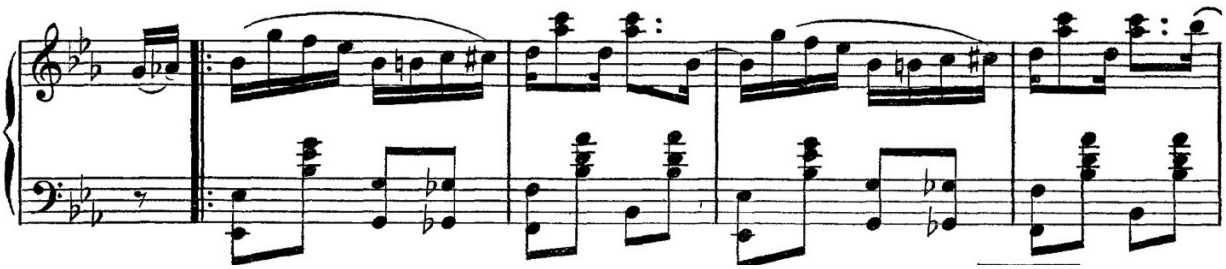


Joplin, *Palm Leaf Rag* (1903)

The second strain, parallelism:

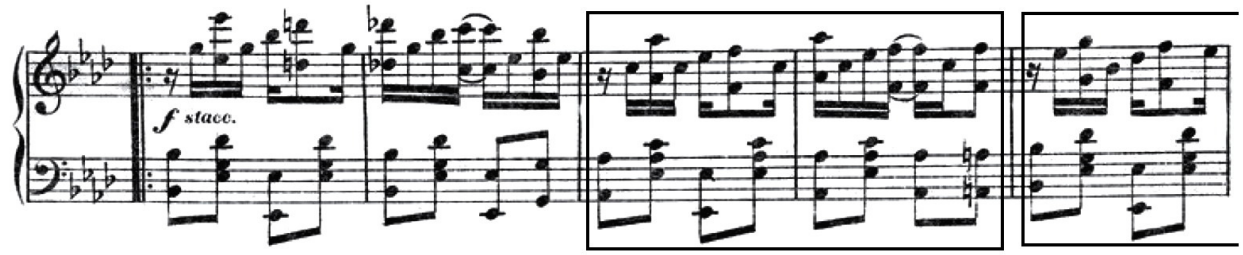


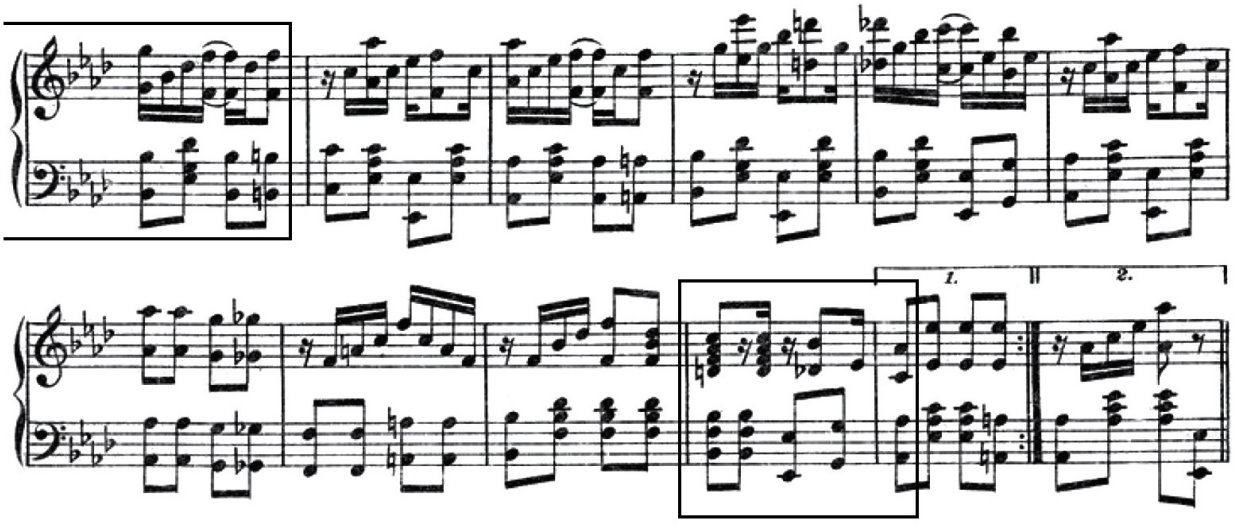
Trio, first strain:



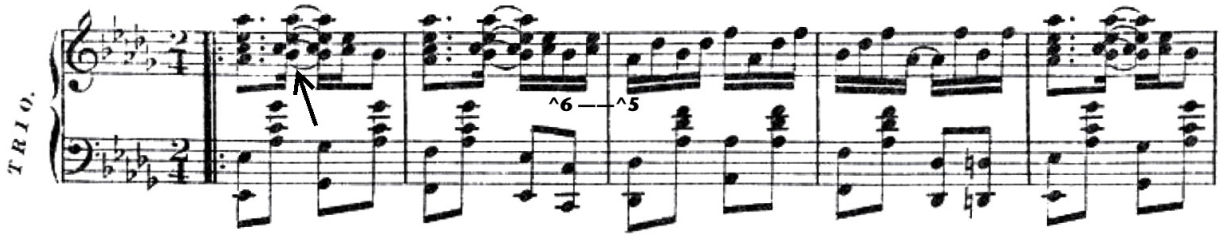
Joplin, *Maple Leaf Rag* (1904)

Second strain, parallelism:

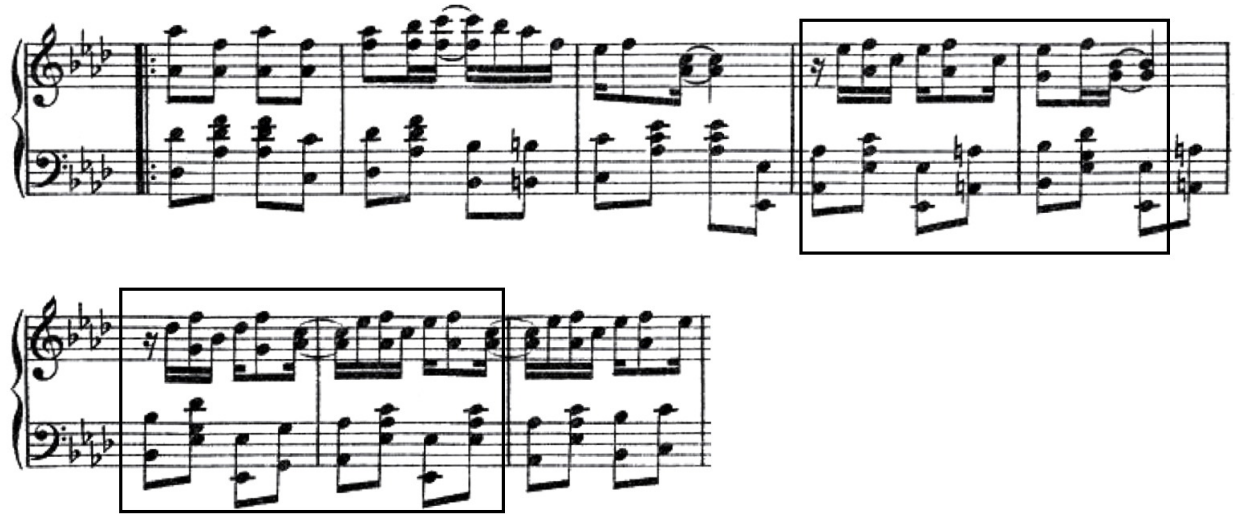




Trio, first strain, an unusual direct resolution with 9 (Bb4) in an inner voice:

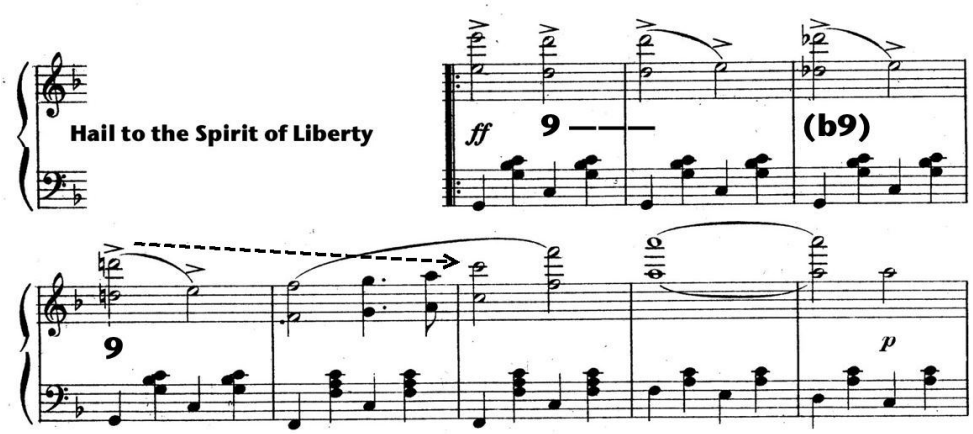


Trio, second strain, another parallelism:

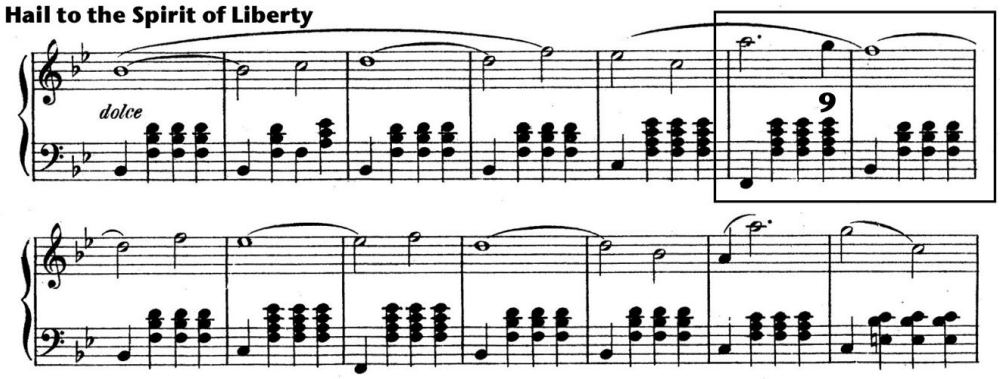


Sousa, *Hail to the Spirit of Liberty* (1900)

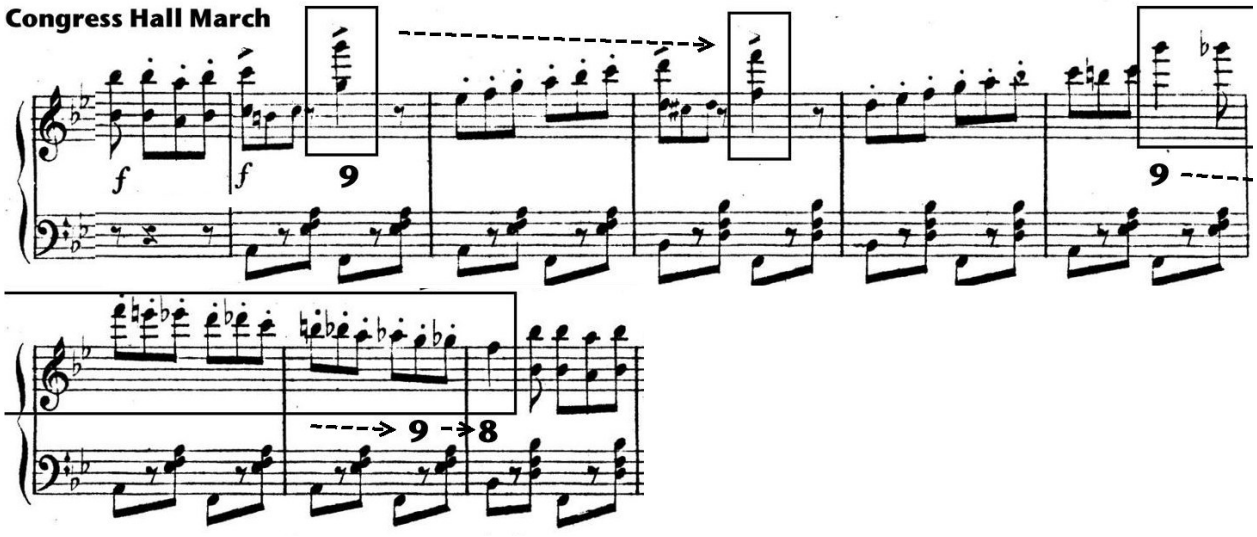
Second strain:



Trio, first strain:

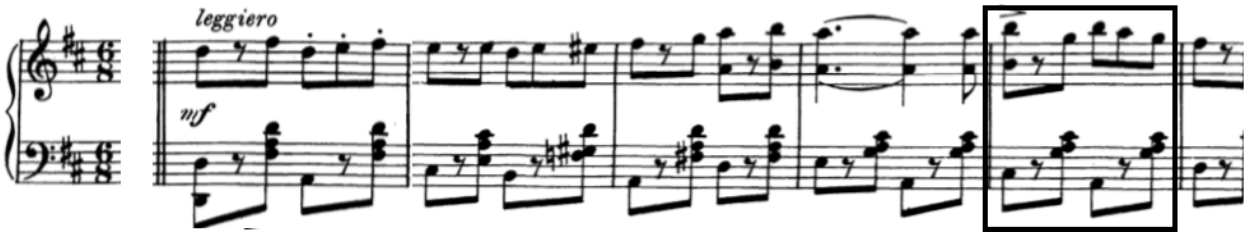


Sousa, *Congress Hall* (1901)

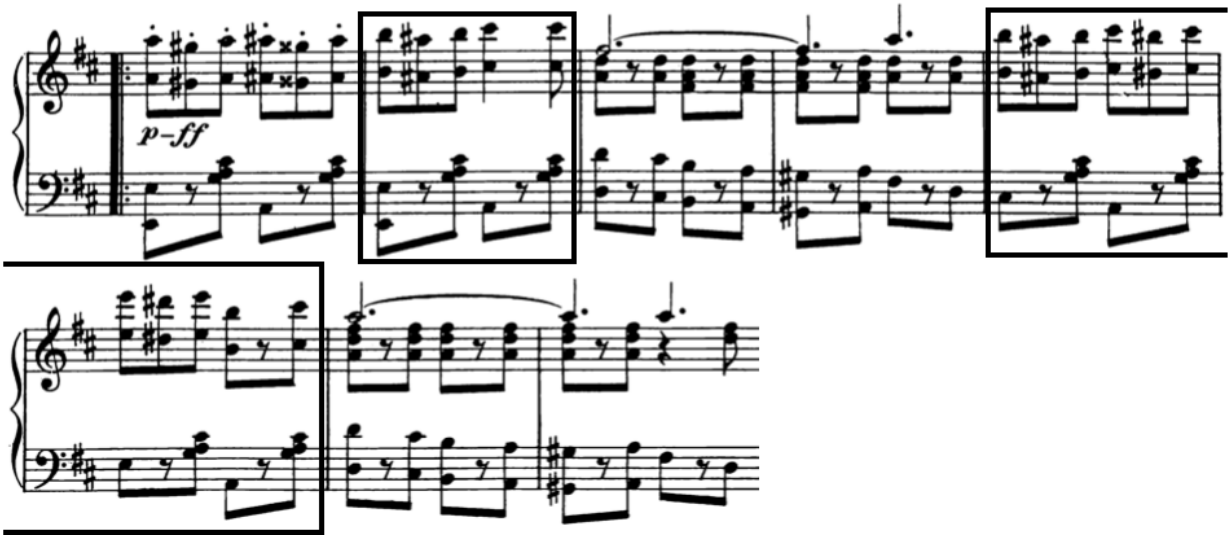


Sousa, *The Free Lance March* (1906)

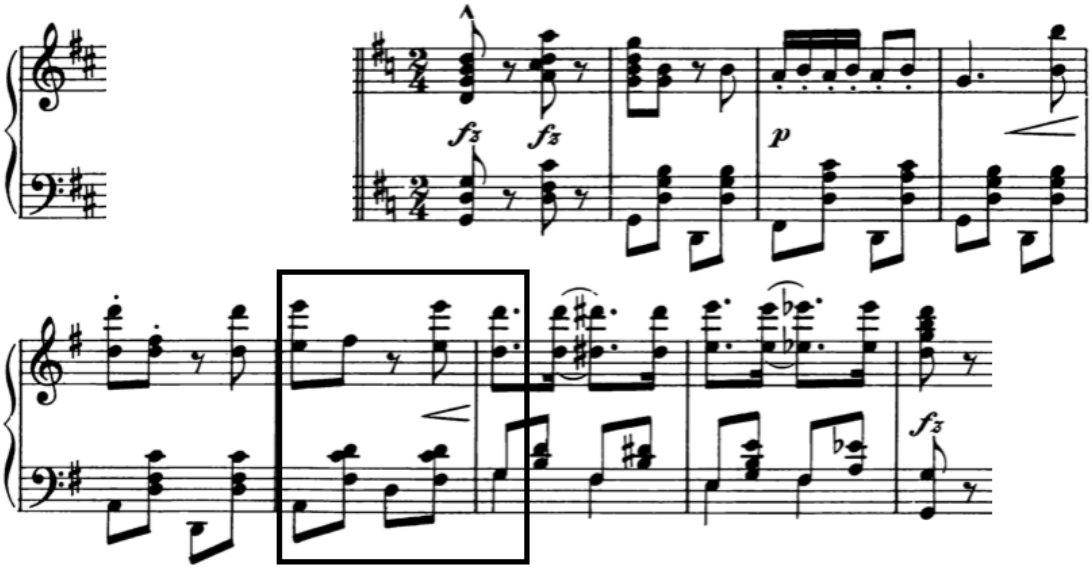
First strain:



Second strain:



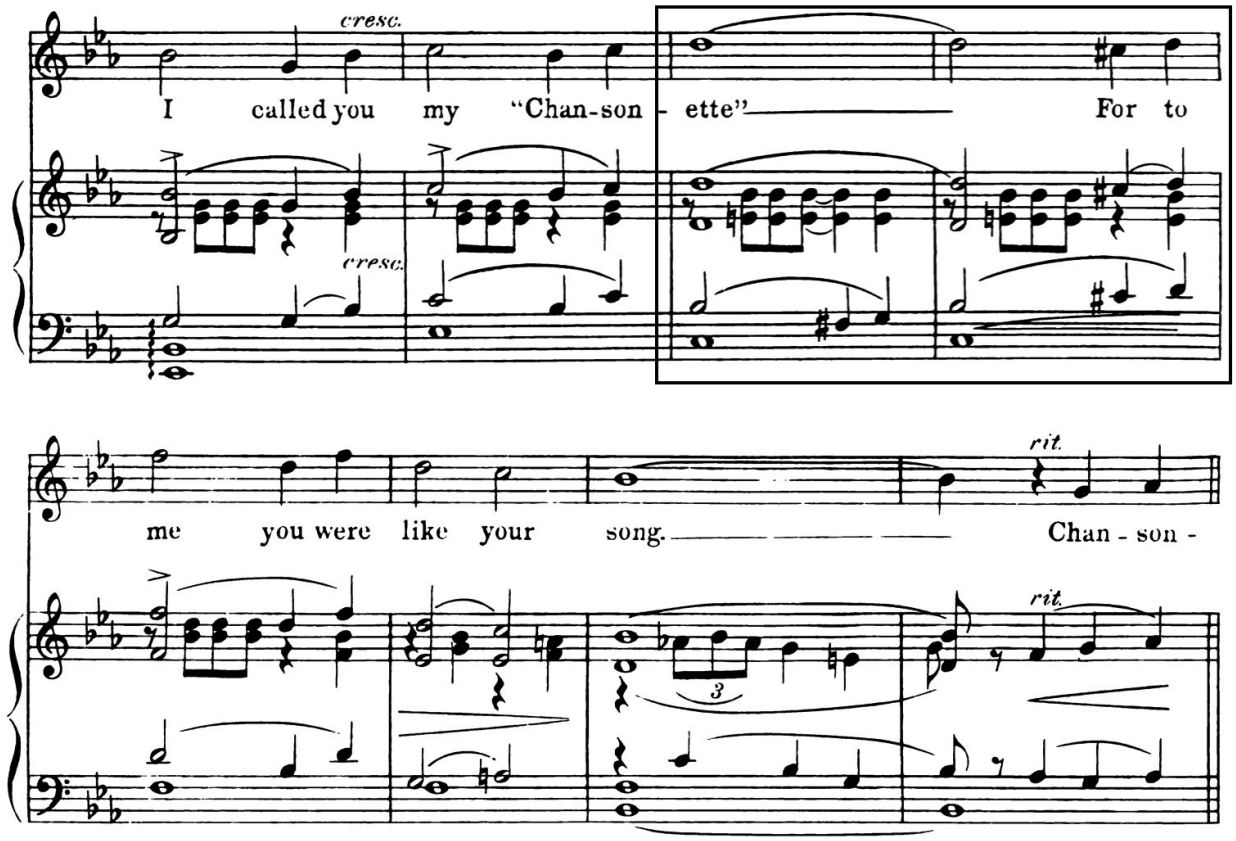
Trio, first strain:



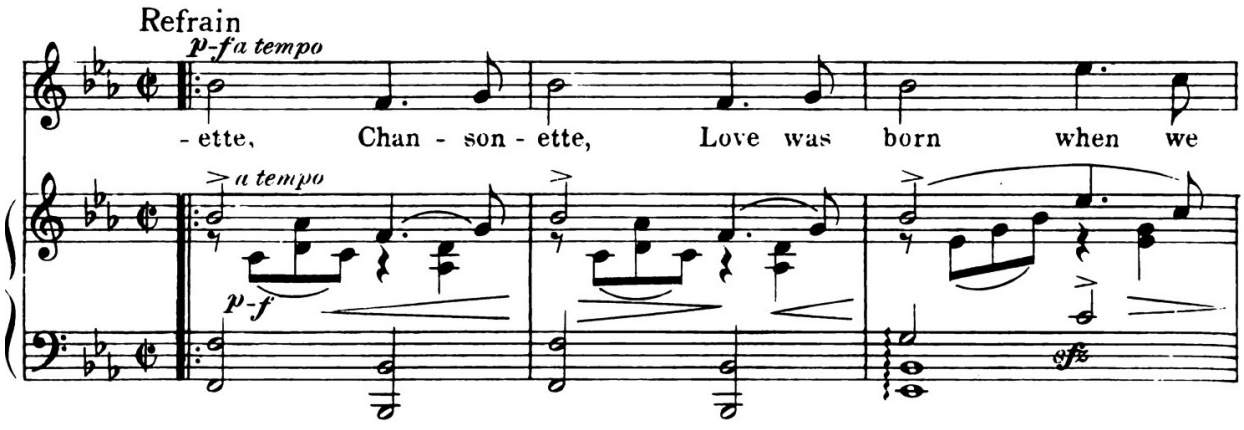
§ 2: Songs

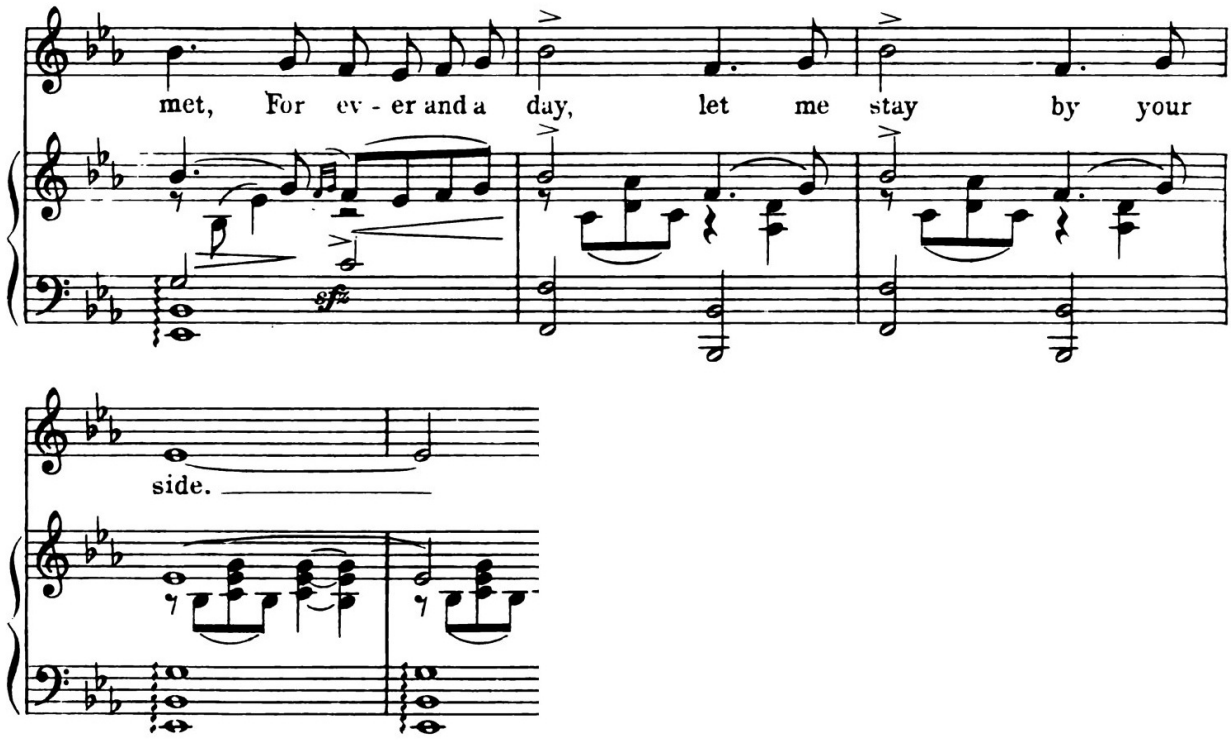
Rudolf Friml, "Chansonette" (1923)

A carefully placed Bb: V9/V in the verse.

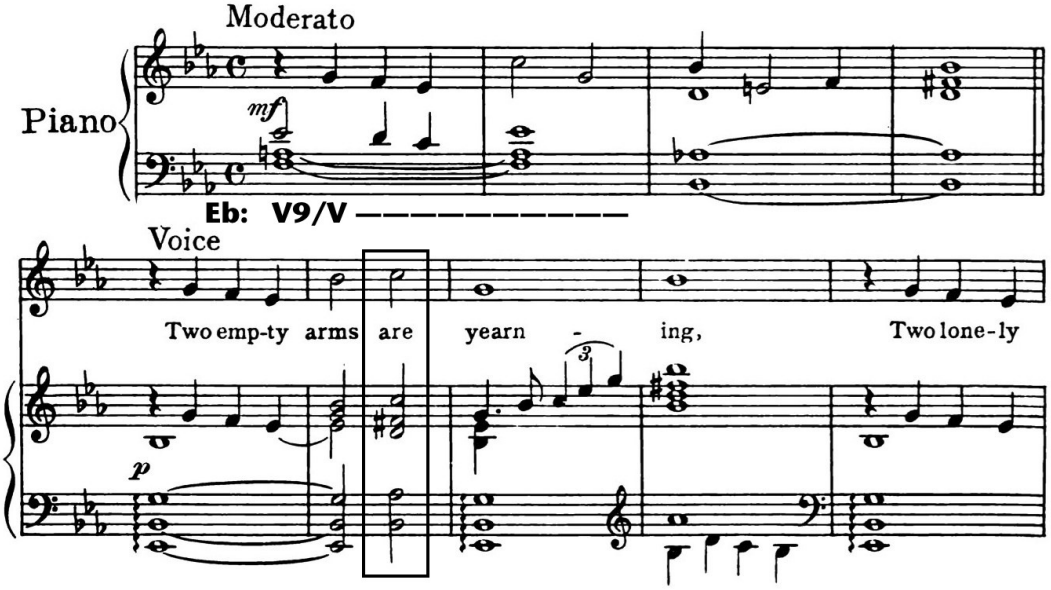


In the refrain (example continues on the next page)—and of course assuming the piano part is Friml's own, not an arranger's—one hears V9 in the first half of the bar but V7 in the second half, and a clever inversion follows in bar 3 where we hear the tonic triad in the first half of the bar and Iadd6 in the second half,

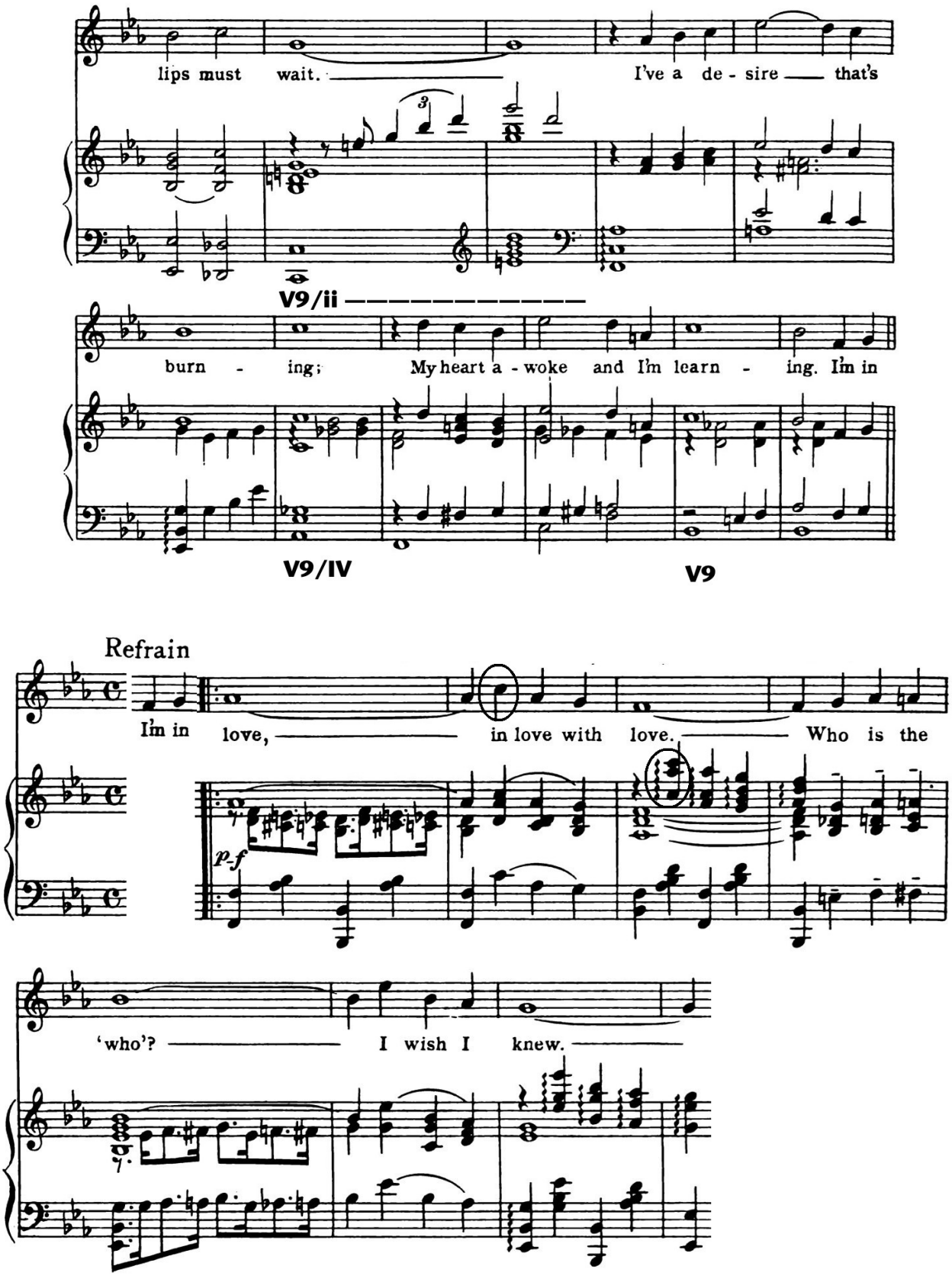


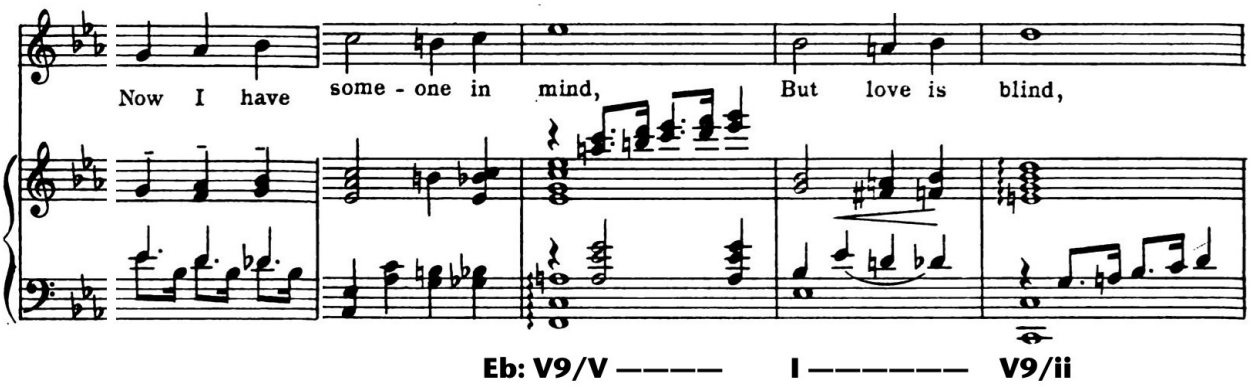


Rudolf Friml, "In Love with Love" (1923) (example continues on the next page). A rare V+(9) early in the verse (boxed) is heard again in the final cadence of the refrain—see page 35. Three other V9s, two of them secondary, also appear in the verse—see the top of page 34.

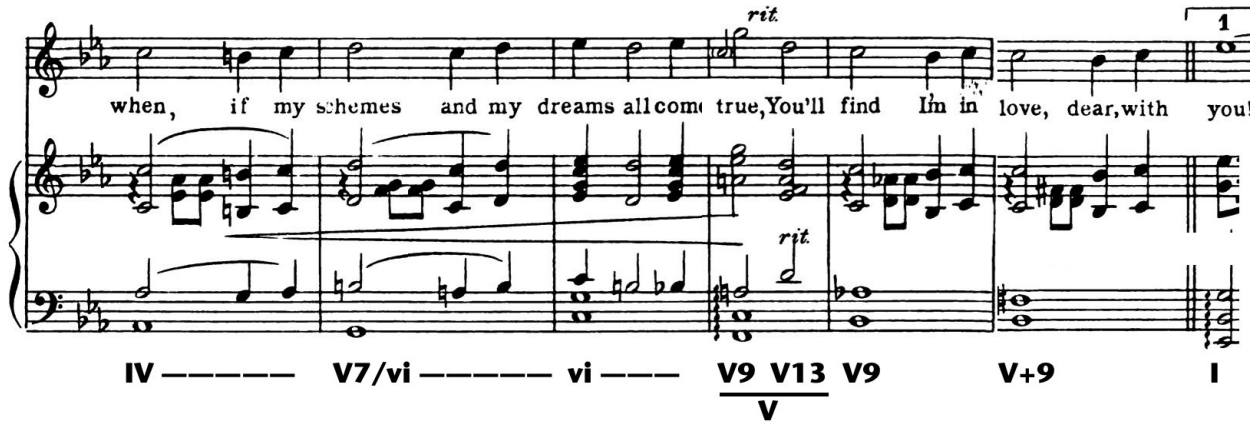


Friml, "In Love with Love" (1923), continued



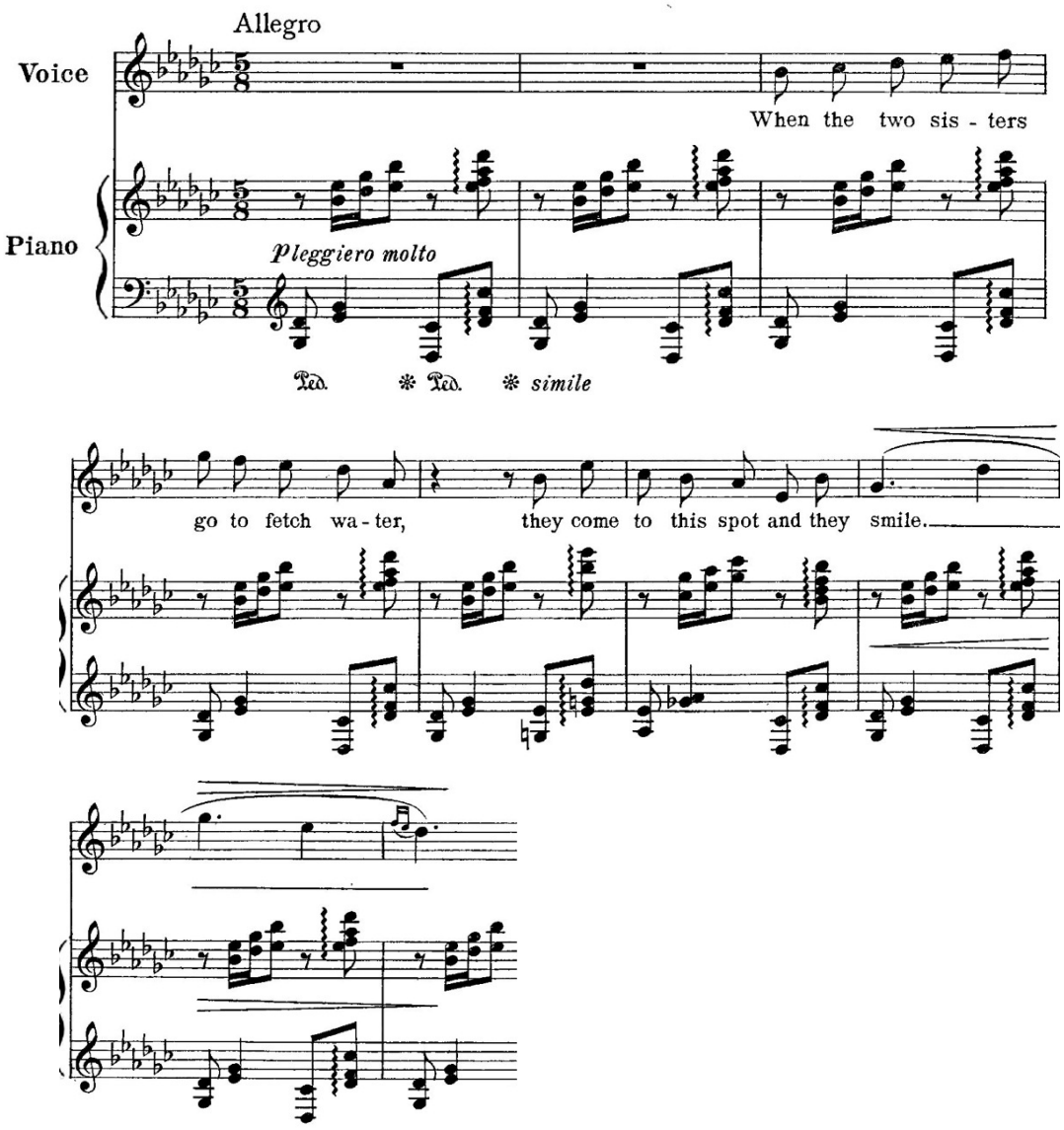


End of the refrain:

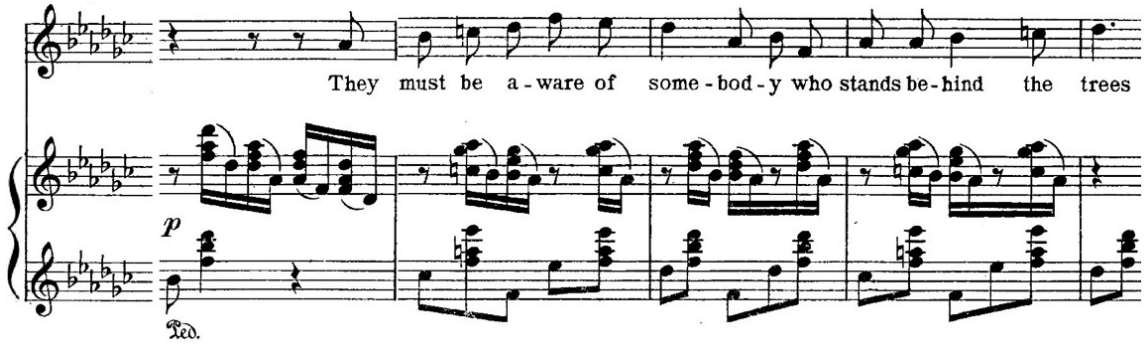


Richard Hageman, "At the Well" (1919)

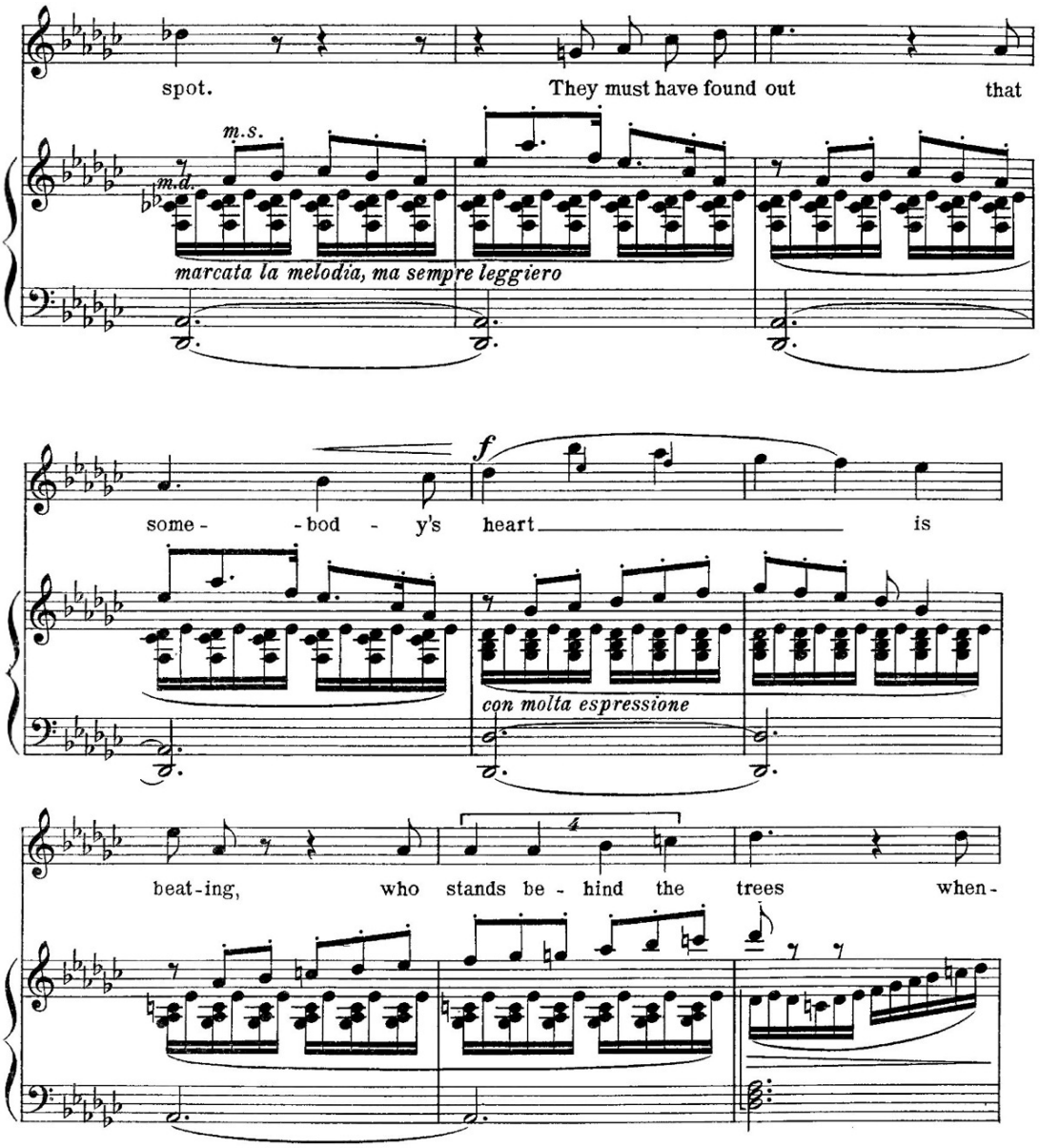
One of the most successful recital songs of its era, "At the Well" plays on an Oriental/exotic theme announced in the piano's opening Iadd6 voiced as a pentatonic gesture. Note that the composer fits in a V9 there as well.



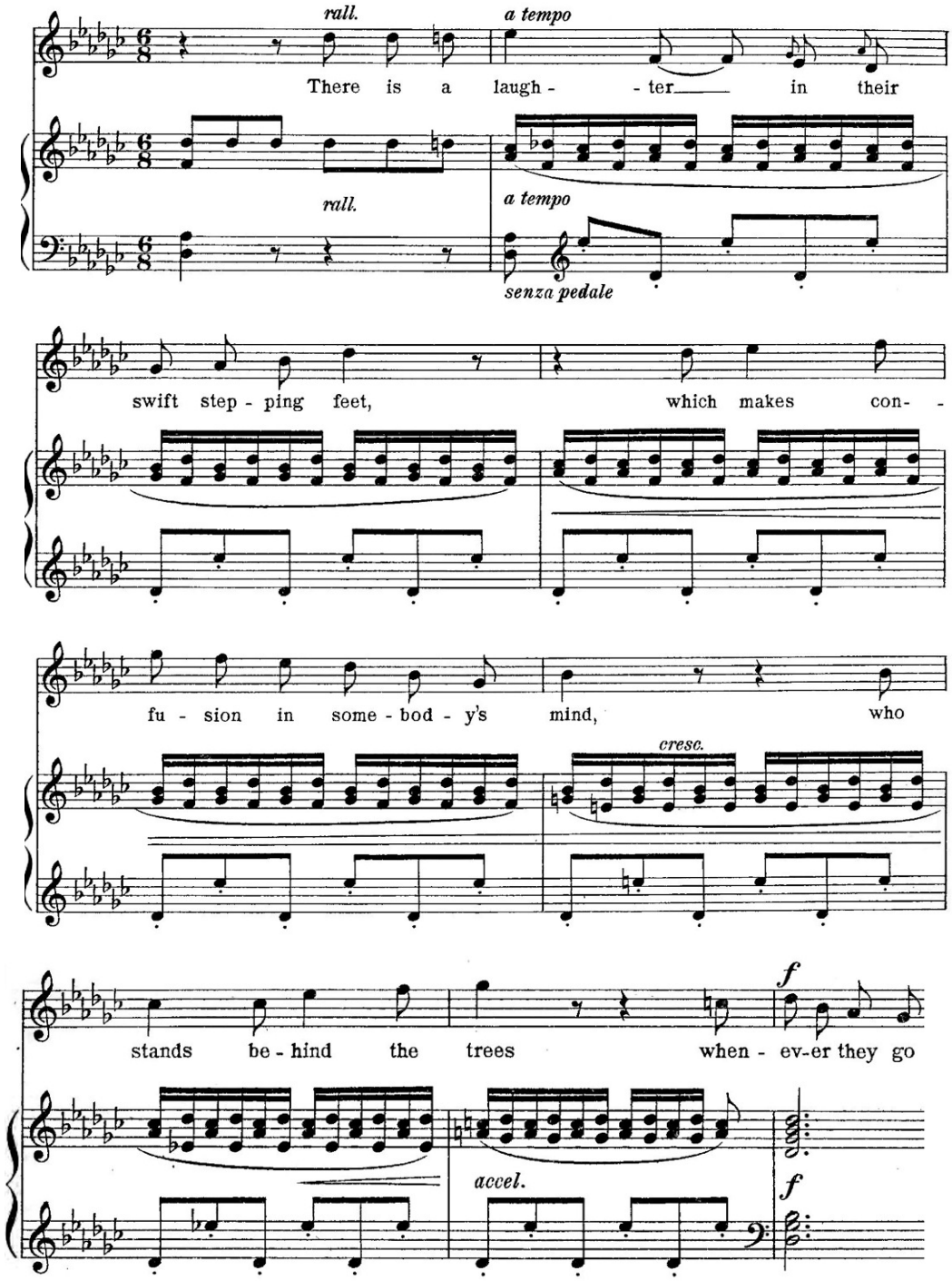
In the third phrase of four in the first verse and leading to a cadence on V, V9/V plays a role, and note that Db: I is colored by its sixth (Bb4).



In the middle phrases of the third verse:

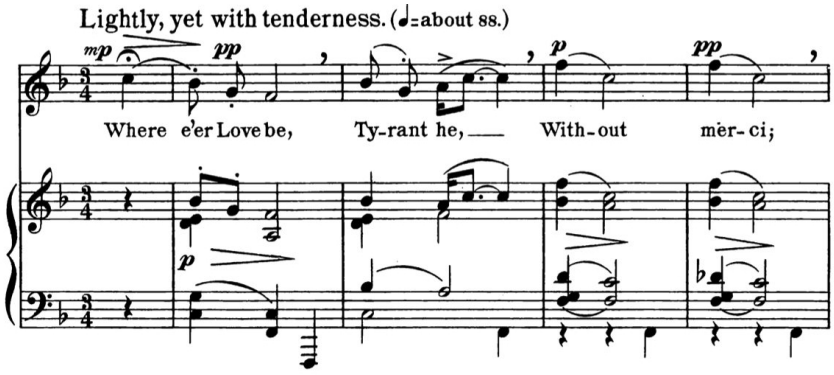


And in the middle phrases of the fourth verse:



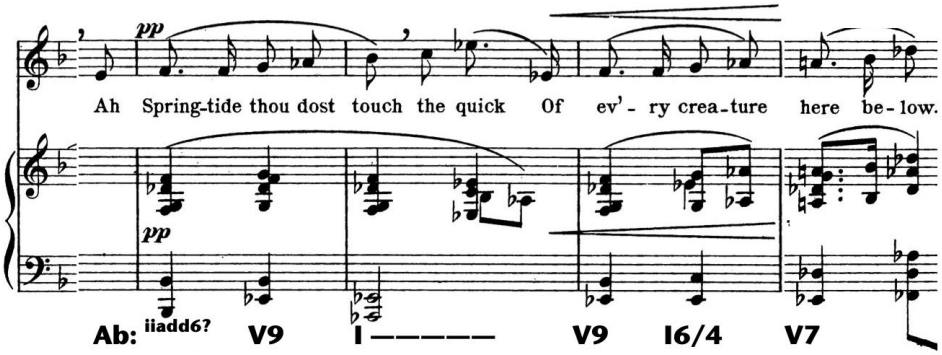
Edward MacDowell, 3 Songs, op. 60 (1902), no. 1 "Tyrant Love"

Despite its prominence in the opening (see below), V9 plays no role in this song, other than appearing again in the reprise of a small ABA form (not shown).

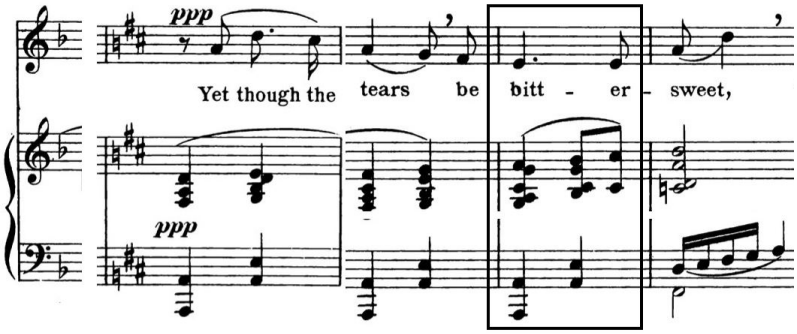


Edward MacDowell, 3 Songs, op. 60 (1902), no. 2 "Fair Springtide"

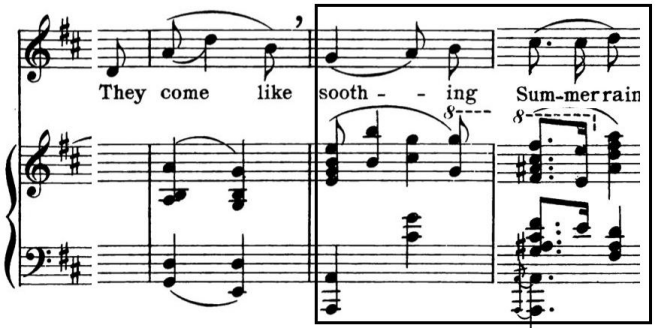
The song is in D minor, but in the third verse of four it heads off in quite a different direction, with a definite role for V9 sounds not heard previously:



These are the settings of the first two lines of the fourth verse:



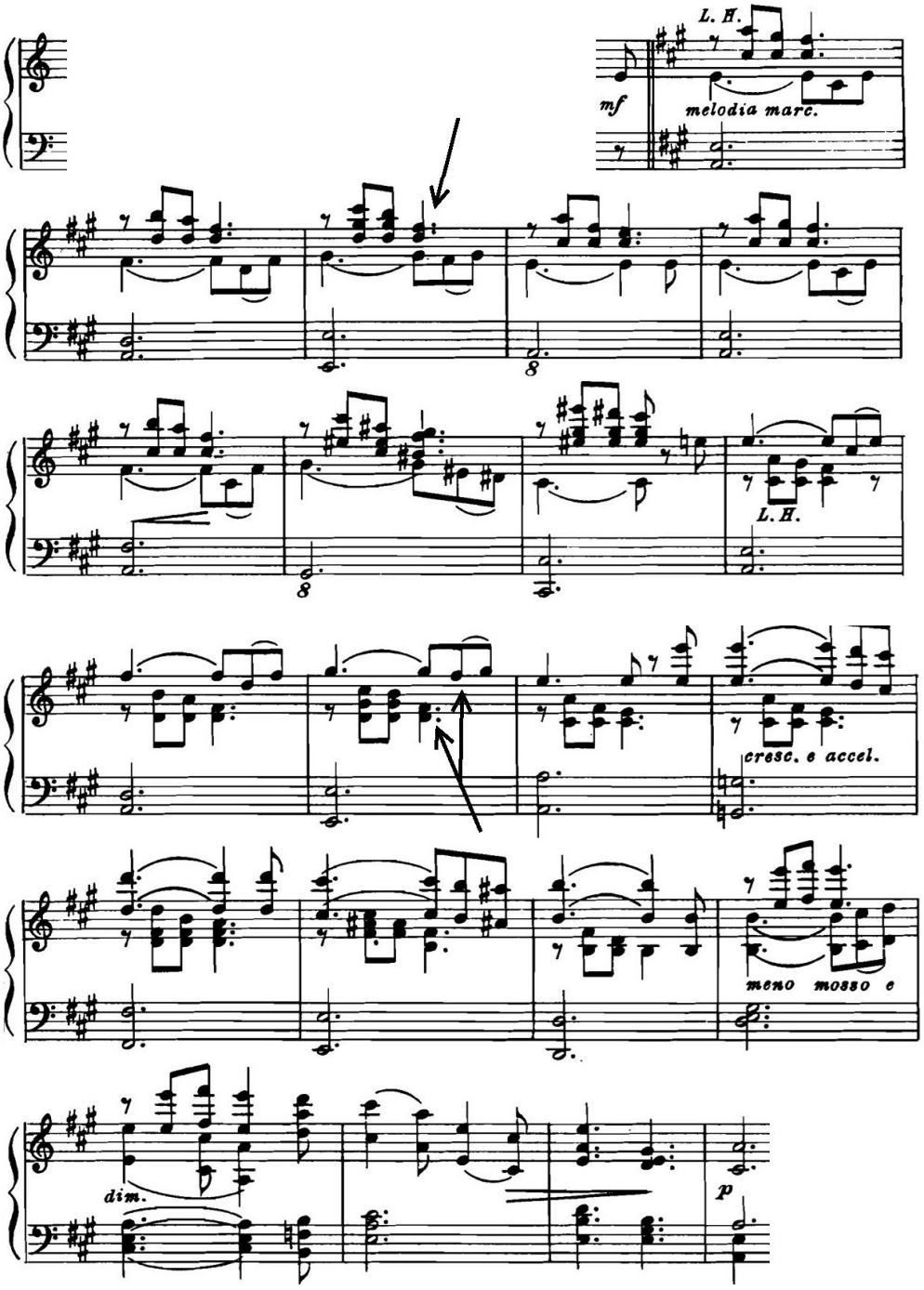
In the final two lines, including the closing cadence, V9 isn't present. I imagine that might be an opening for a hermeneutical exercise.



§ 3: Music for keyboard

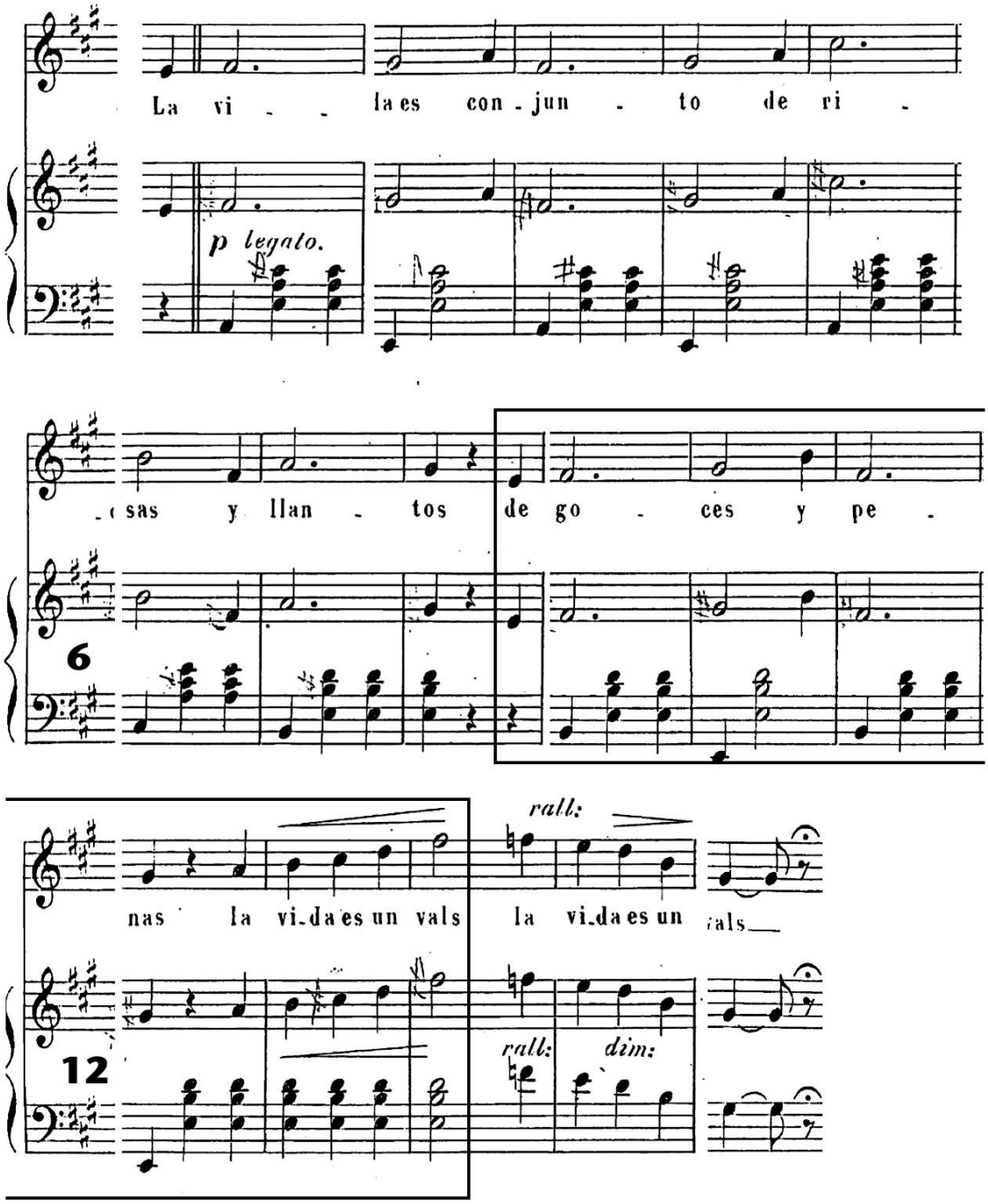
William Buse, Barcarole (from *Berg Incidental Series*) (1917)

The *Incidental Series* anthologies were published from 1917 to 1920 and, although labeled as useful for theatre and drama, they were undoubtedly meant primarily for film accompaniment.

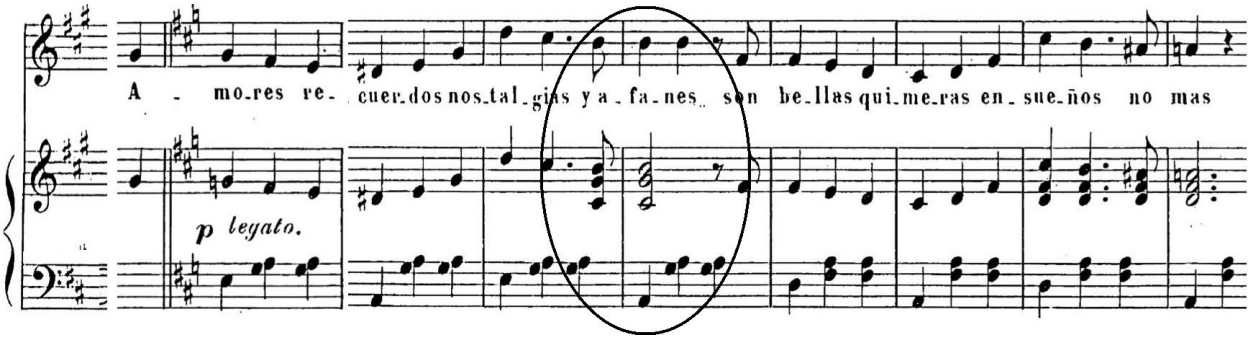


Vincente Costa Nogueras, *El Vals de la Vida*, op. 136 (1911)

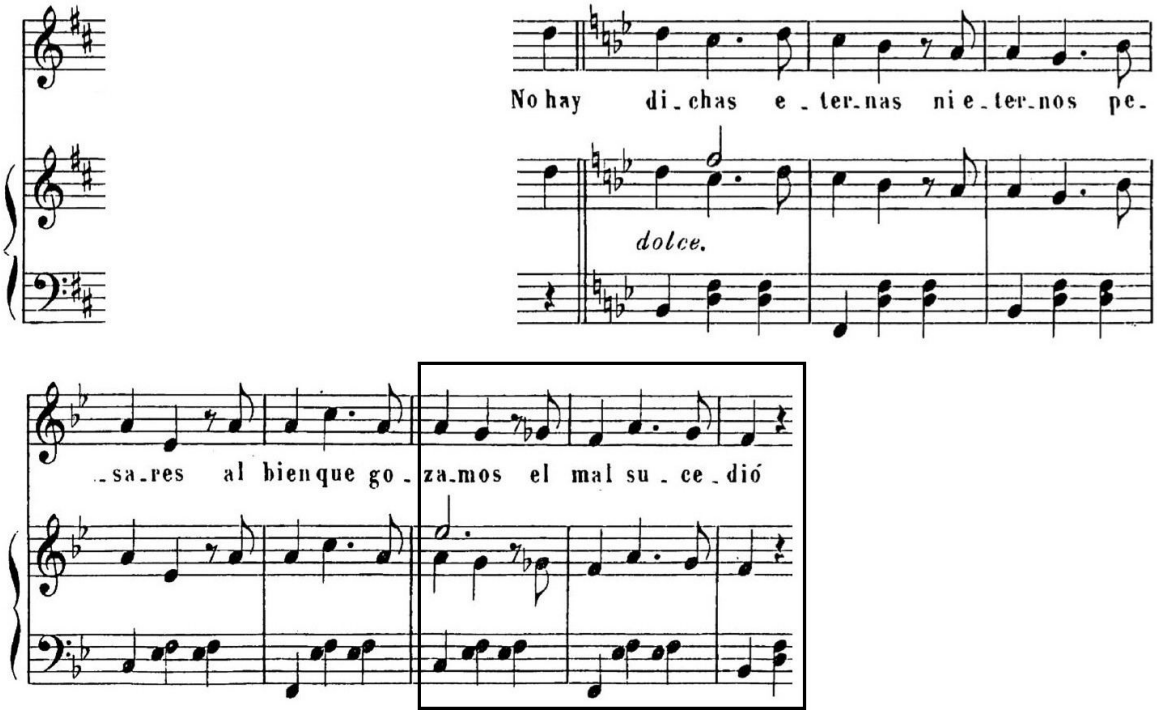
Costa Nogeuras in Barcelona obviously was quite familiar with the style and gestures of the waltz, both Viennese (Strauss) and Parisian (Waldteufel). In bars 1-8, ^6 and ^7 over I; in the transposed consequent of bars 9-16, ^6 and ^7 over V, producing an extended V9.



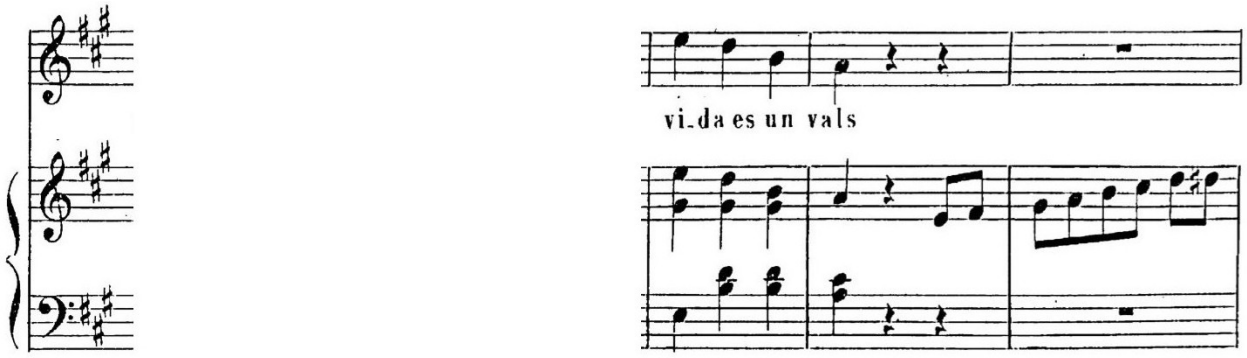
In the second waltz:

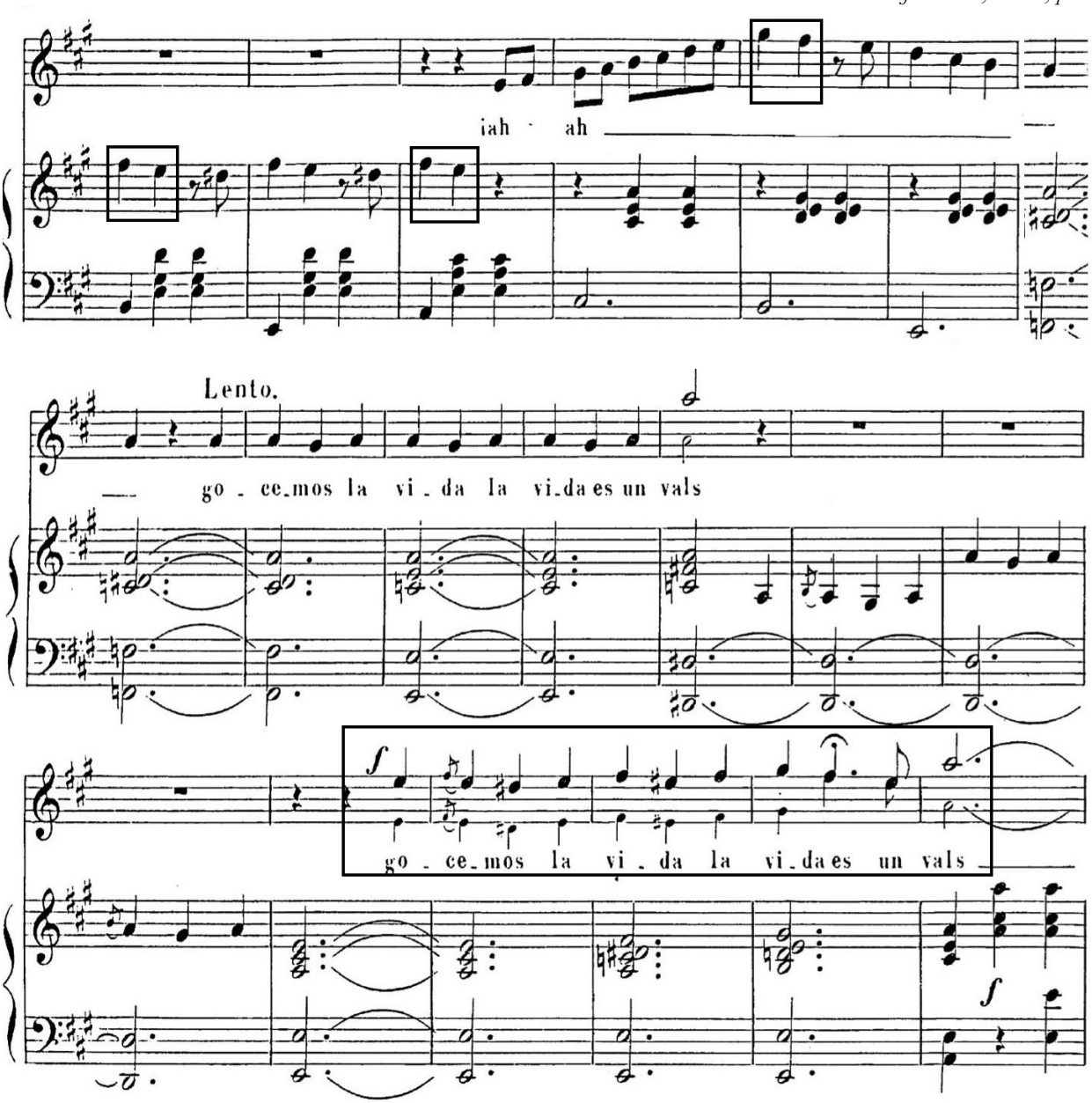


In the third waltz:



And in the coda (example continues on the next page):

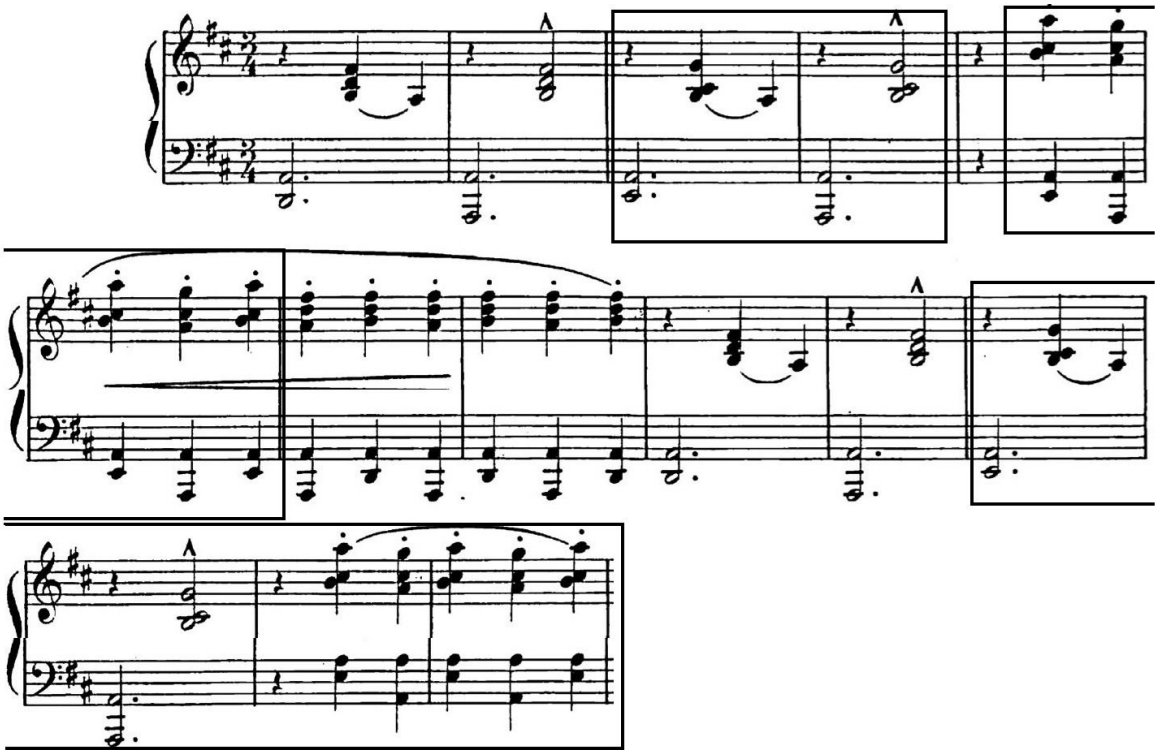



iah ah
Lento.
go - ce_mos la vi - da la vi_da es un vals
f
go - ce_mos la vi - da la vi_da es un vals
f

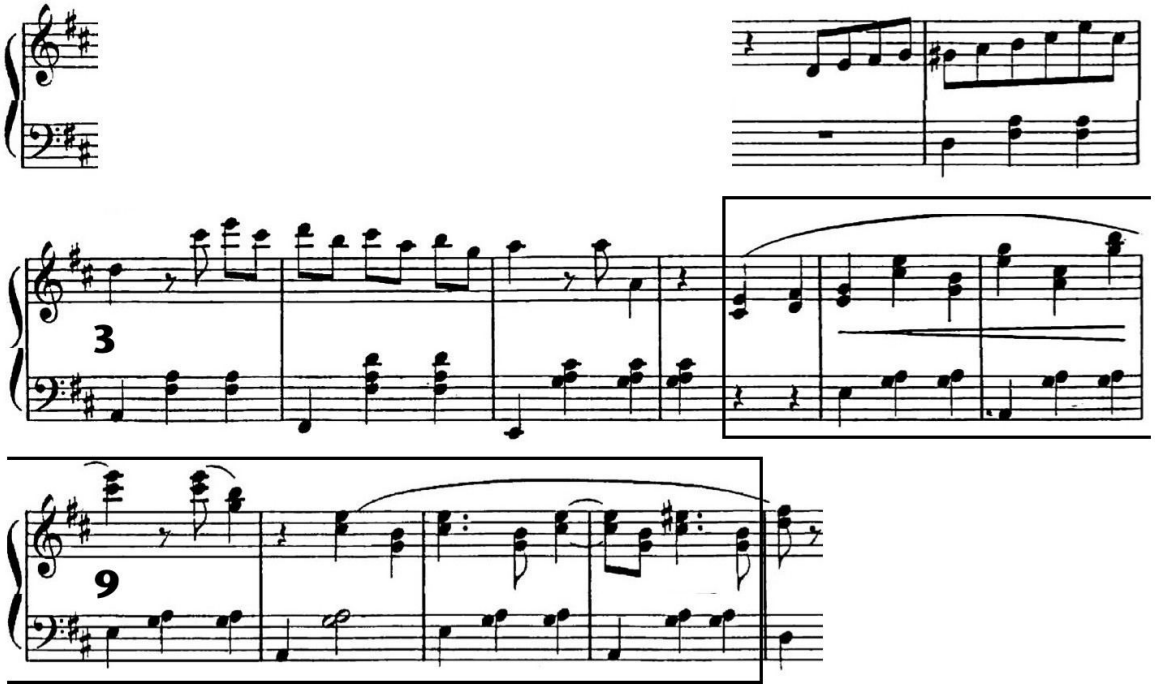
Vincente Costa Nogueras, *Aragonesa*, op. 148 (1901)

A waltz by another name, perhaps intended as a "Spanish waltz" genre?

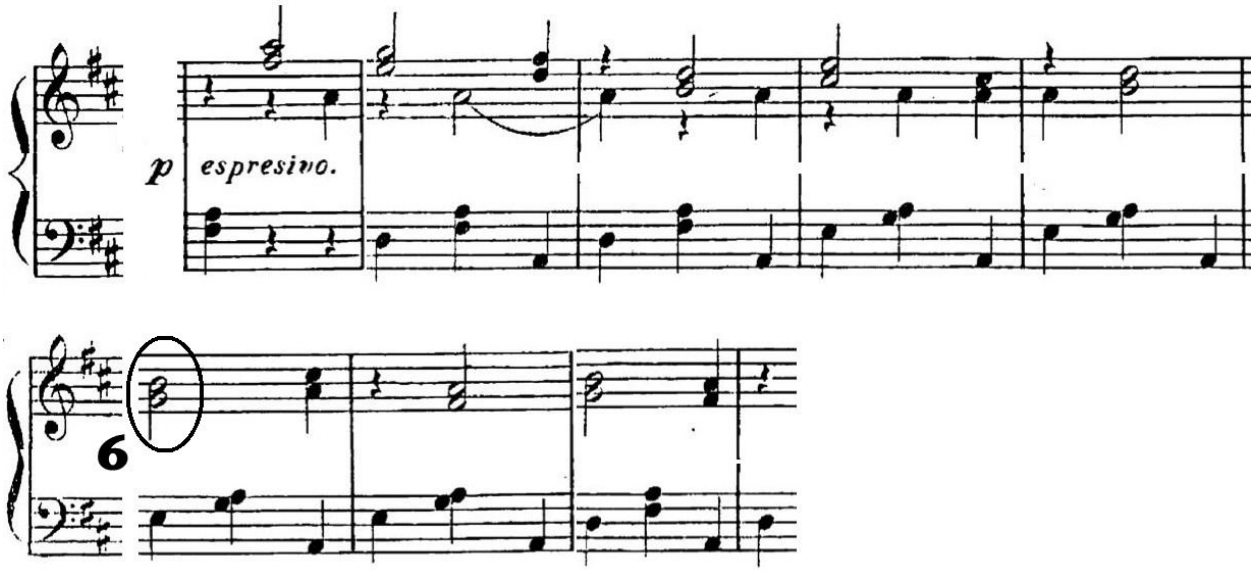
In the introduction:



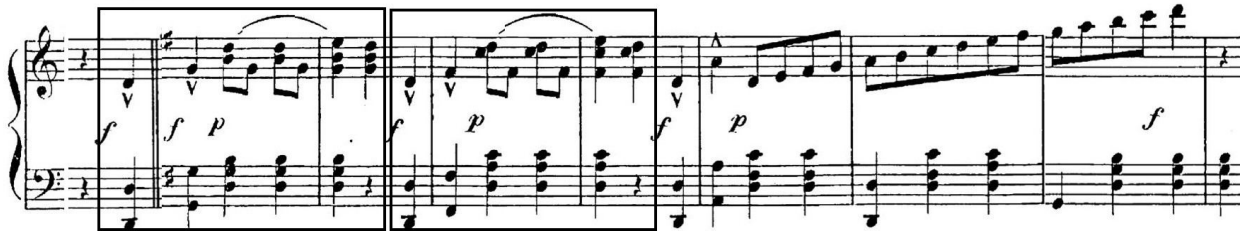
In the first dance:



In the second dance:

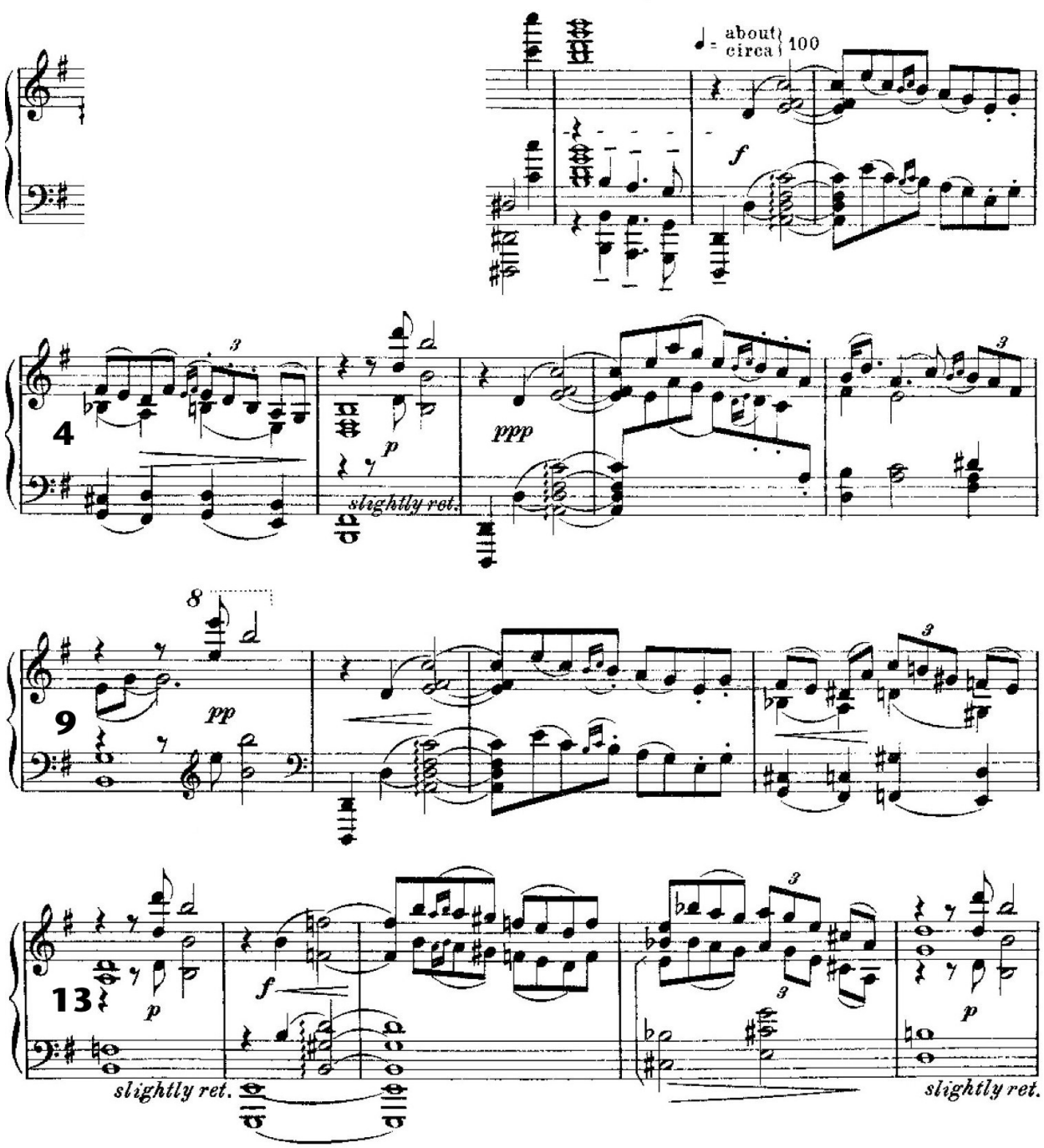


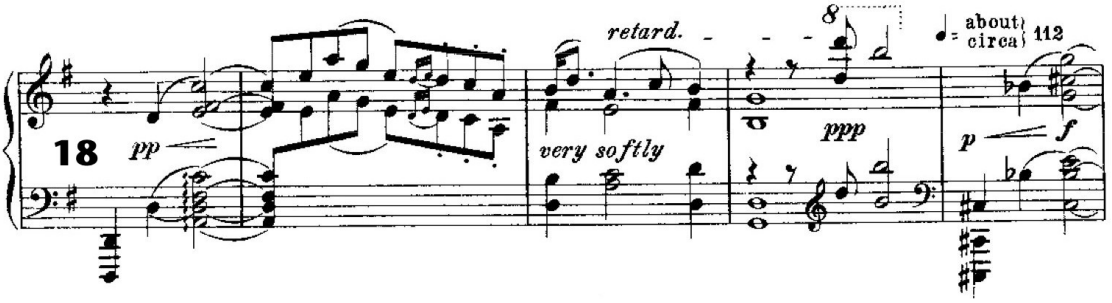
In the third dance:



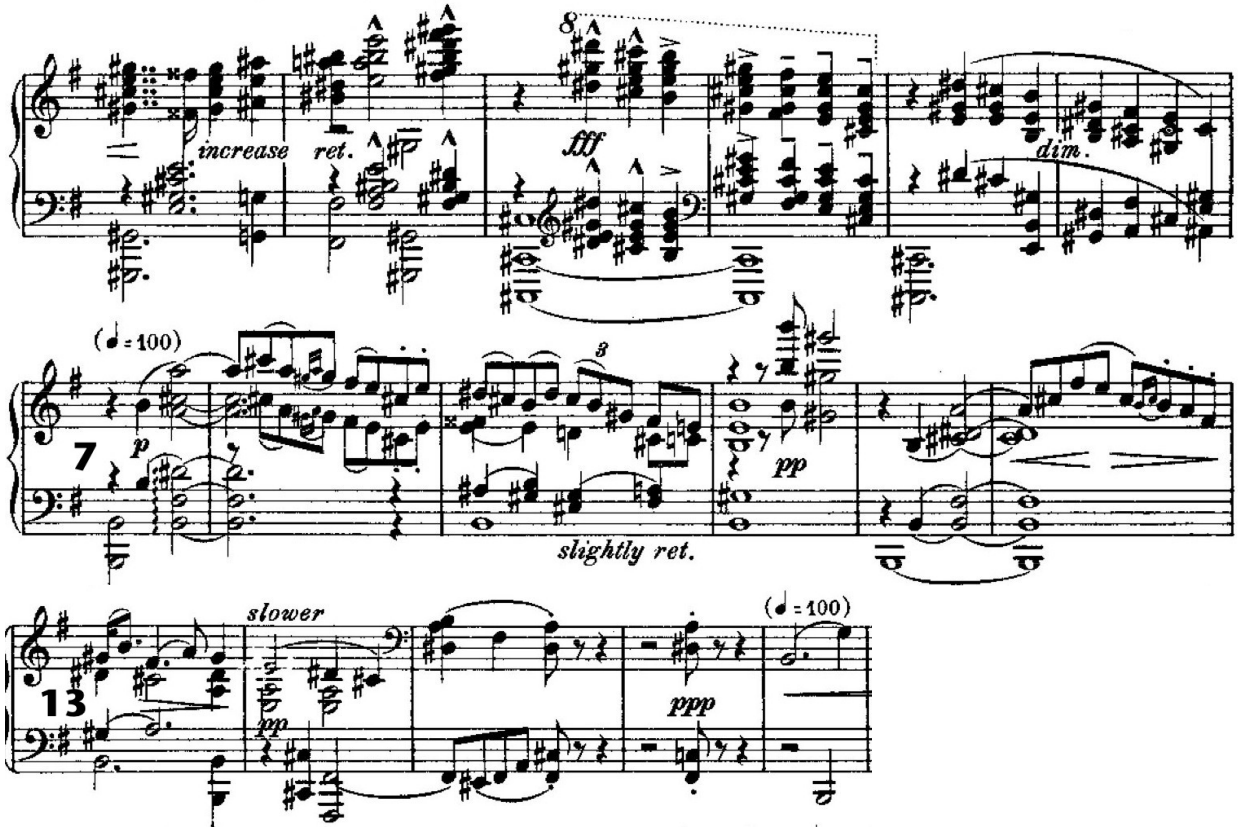
Edward MacDowell, *Keltic Sonata*, op. 59 (1901)

The main key of the first movement is E minor and the opening is both dramatic and dour. Equally dramatic in its way is the G: V9 that announces the second theme (bar 6) and continues to play a role through repetition (bars 10, 18). (Example continues on the next page.) Note the turn to the minor dominant ninth chord and the diminished seventh chord with the gesture from the opening in bars 14 and 22, respectively.

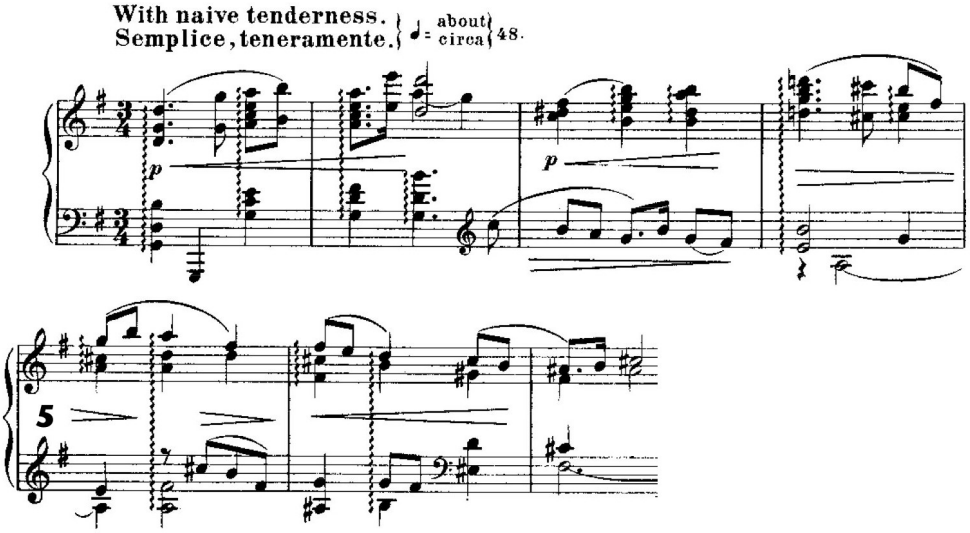




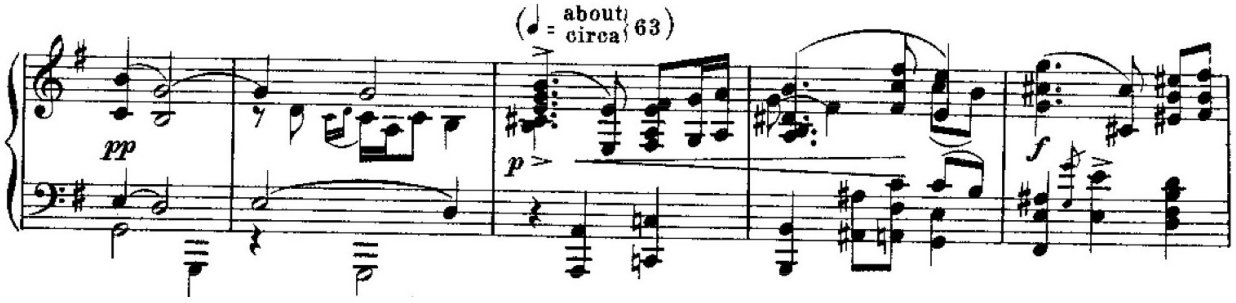
The second theme in the recapitulation (at bar 7):



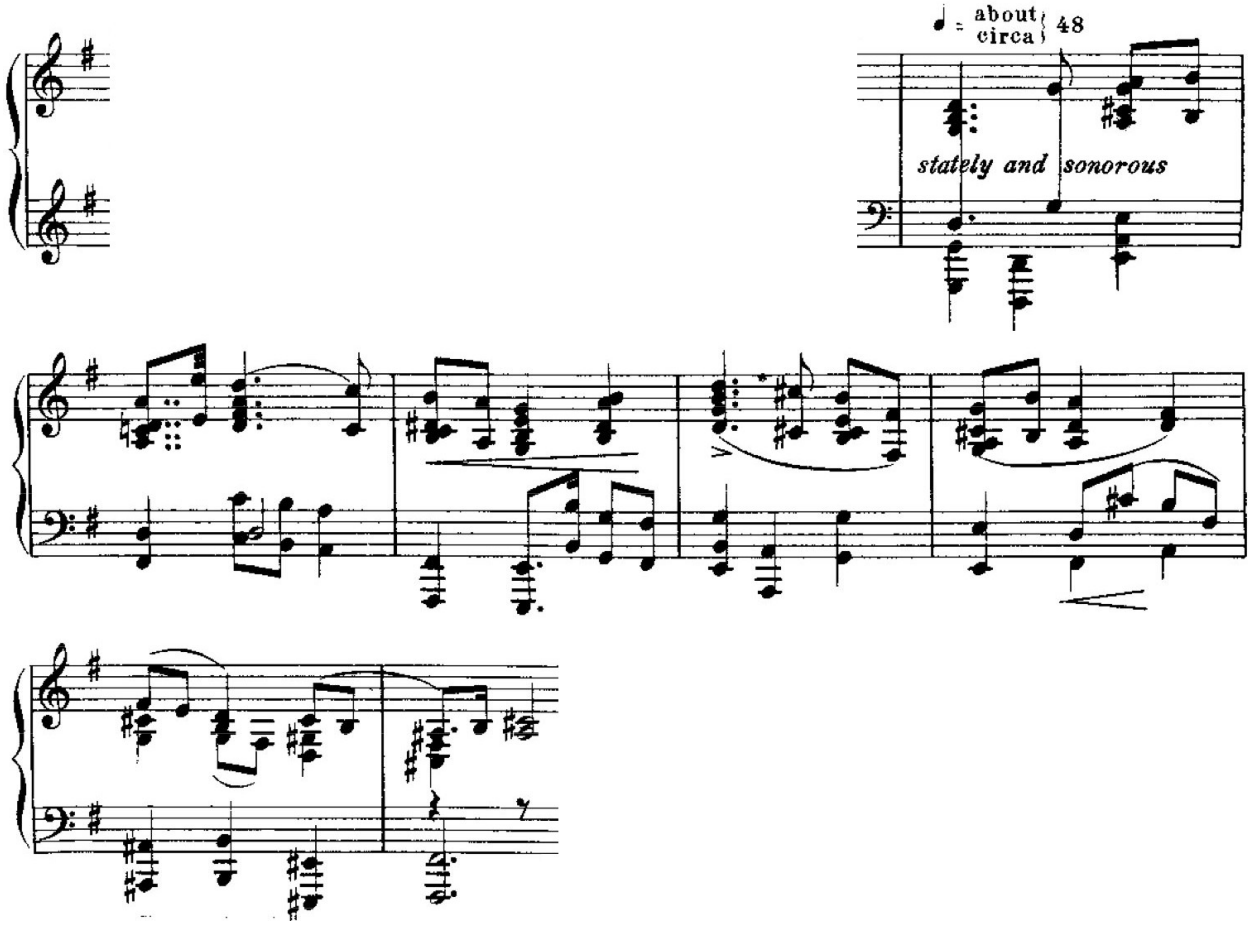
The opening of the second movement. Bars 4-5 are of interest.



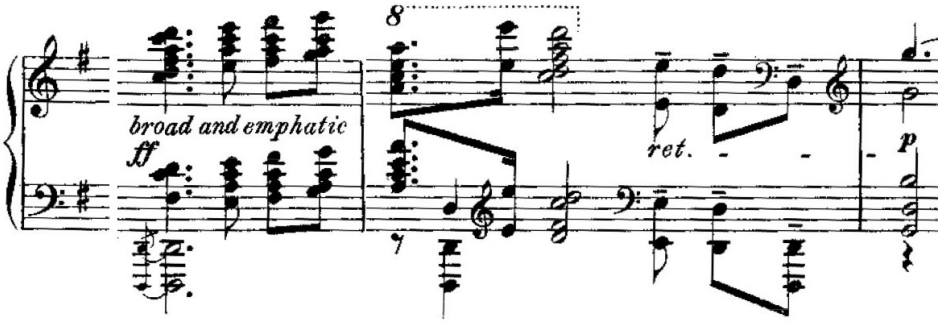
The end of the A-section and beginning of B.



The recapitulation:

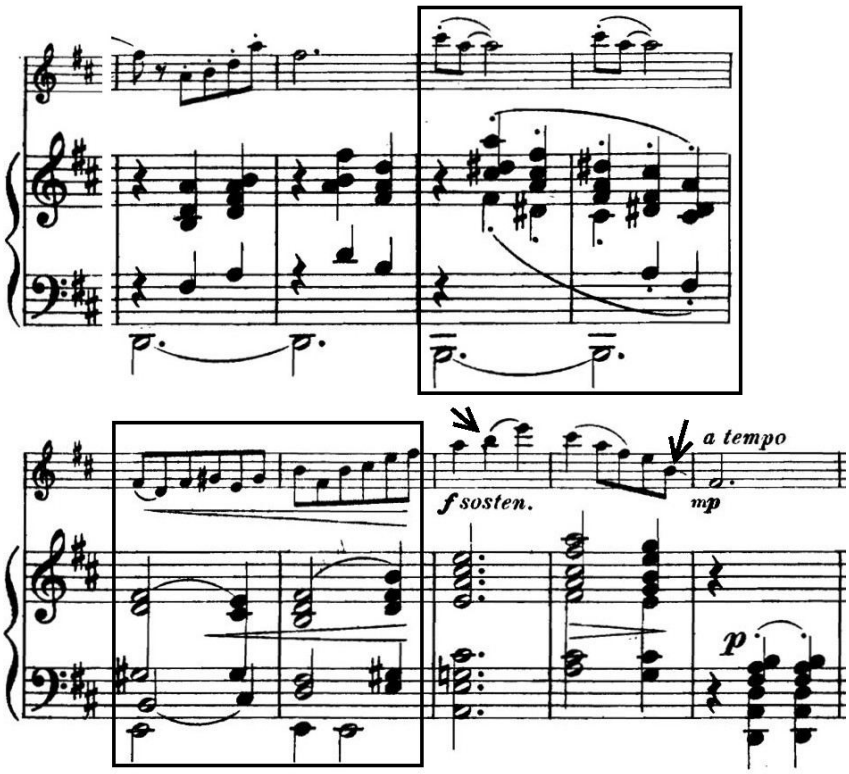


And the climactic return of the theme phrase in its original key. The coda follows this (note shown).

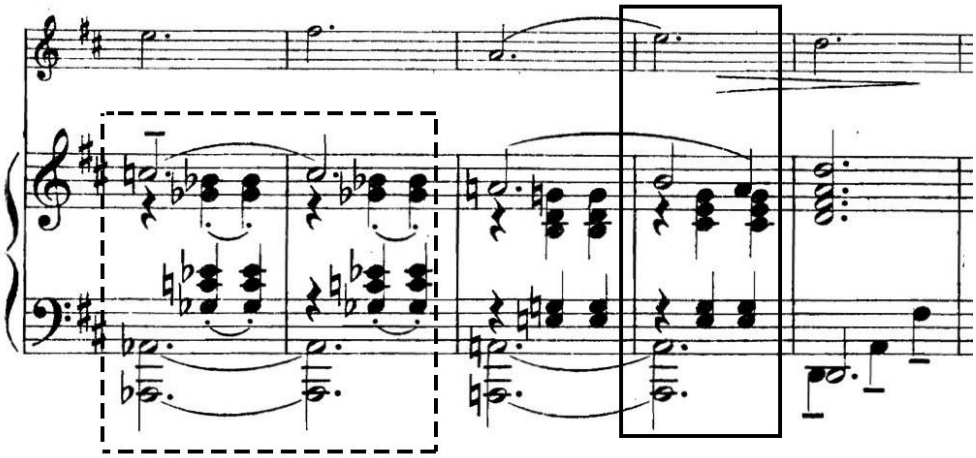


Cyril Scott, *Valse triste*, op. 73, no. 3 (1910)

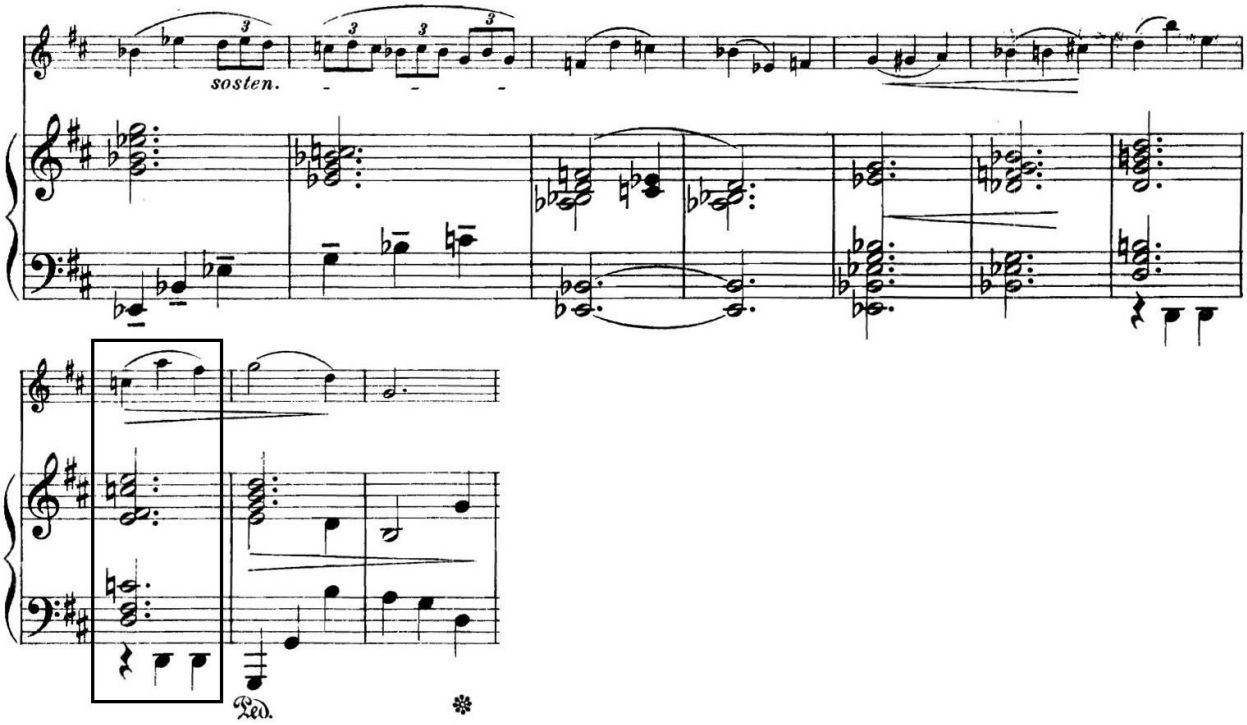
The first waltz: the 8-bar continuation in the 16-bar sentence that is itself the antecedent phase in a 32-bar theme.



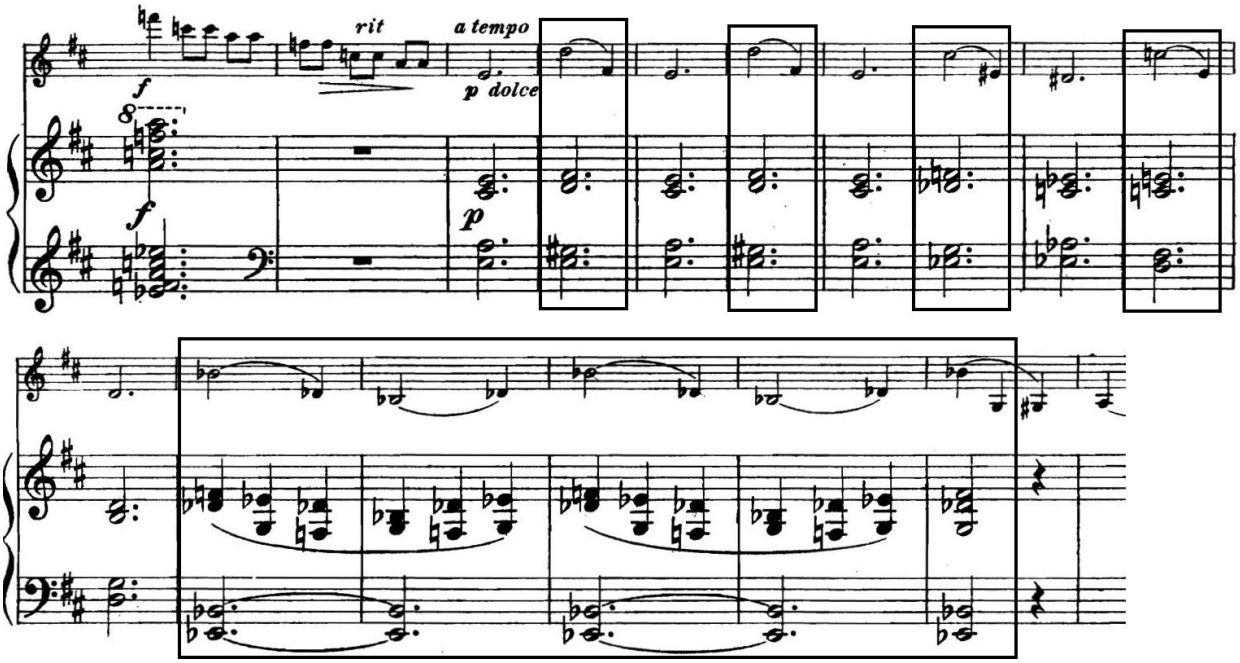
The closing cadence of the 32-bar theme:



Within the second waltz:



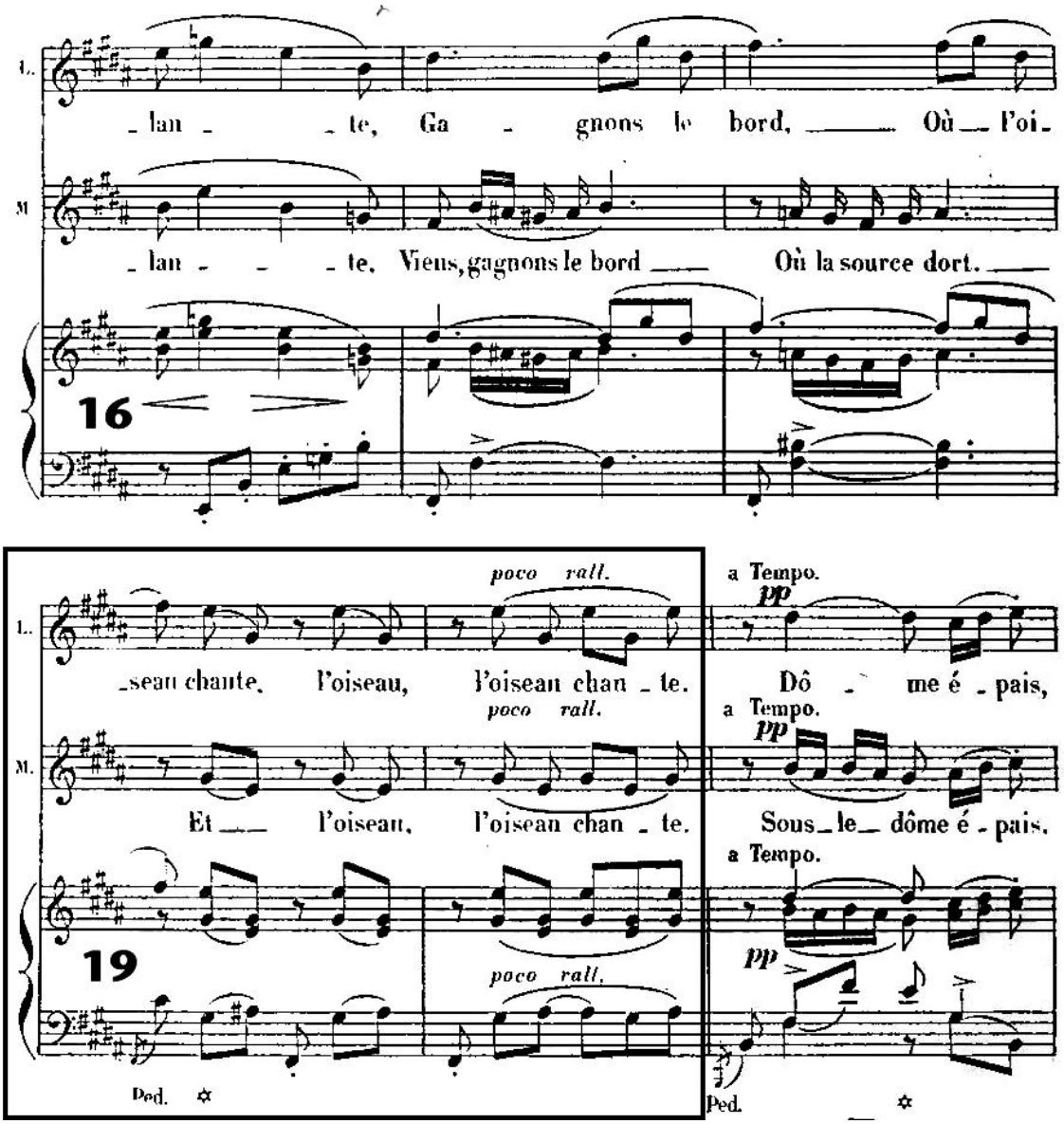
Within the transition from the second waltz to reprise of the first:



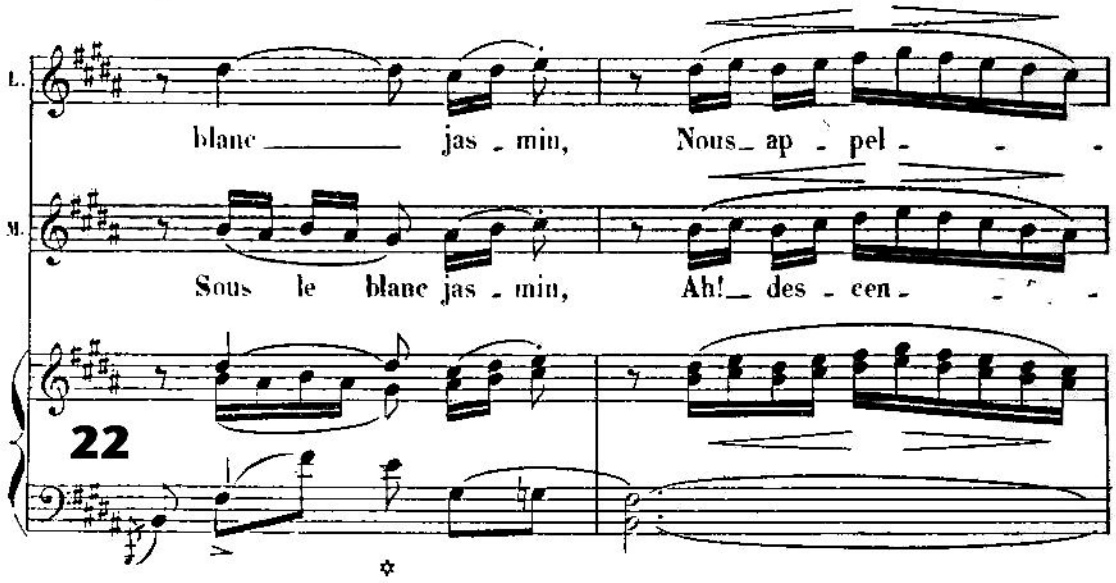
§ 4: Opera, operetta, and musicals*

Léo Delibes, *Lakmé* (1883)

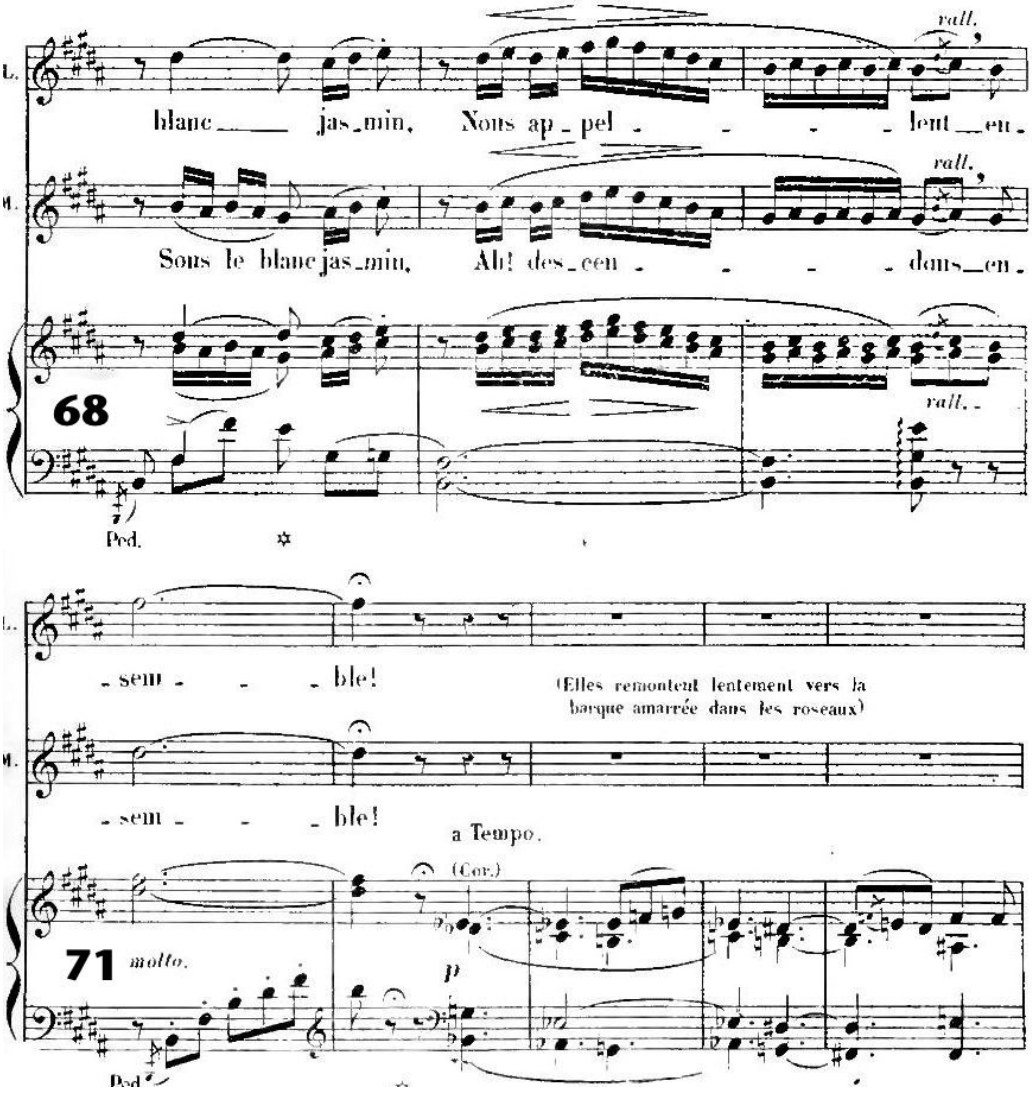
I have found, in general, that for a composer in the 1870s and 1880s Delibes is surprisingly conservative in the use of complex chords, despite his reputation as a harmonic colorist. In Act 1 of *Lakmé*, though, for the well-known "Flower Duet" ("Sous le dôme épais"), sung by Lakmé and her servant Mallinka, the composer introduces a strikingly expressive V9 leading to the main theme's first reprise (as A' in an ABA' small form):



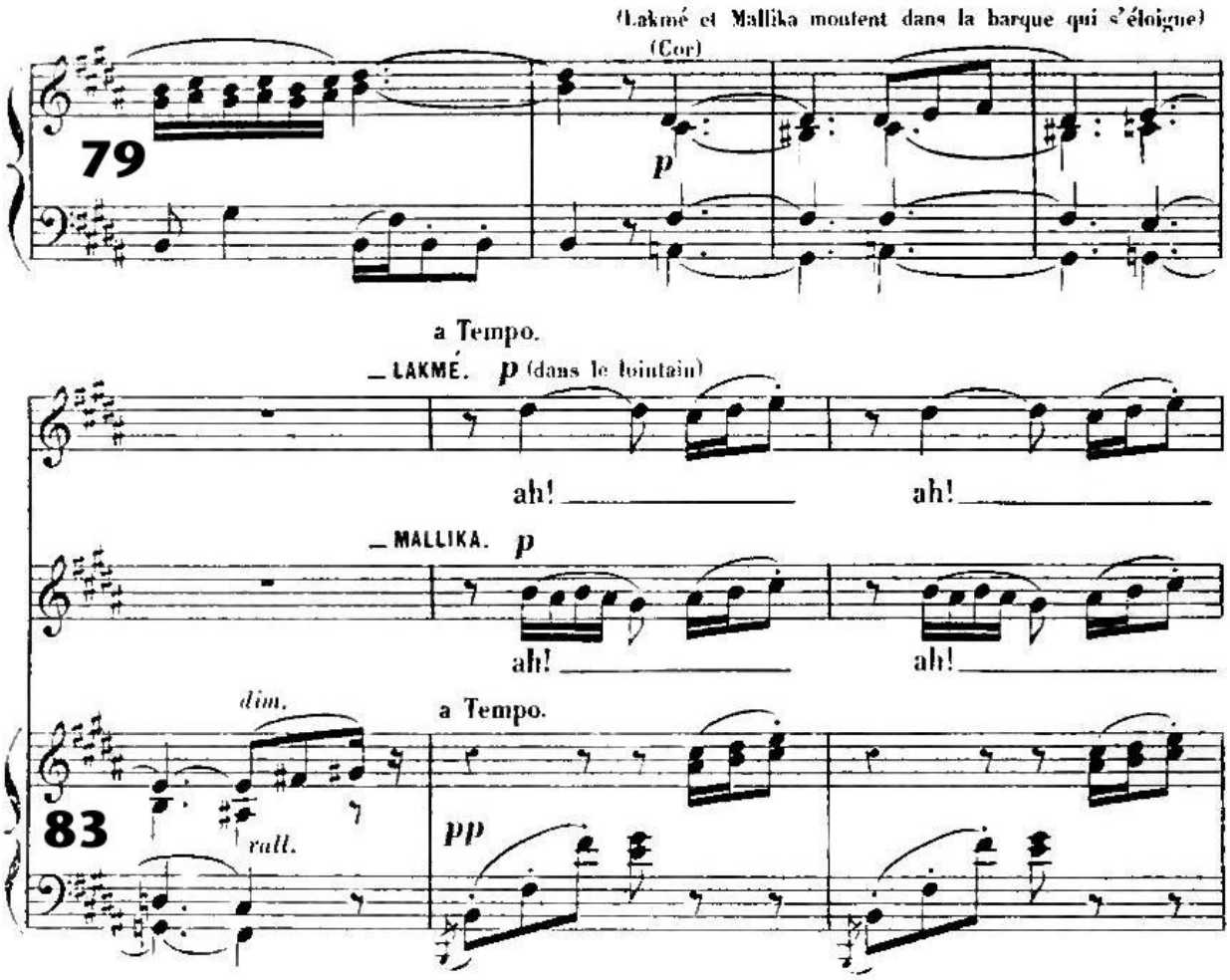
Example continues on the next page.



The same V9 is used in the recapitulation, at bars 65-66, and is the structural dominant, as bars 67-72 are sung over the tonic bass. A coda follows during which the two women leave the stage.



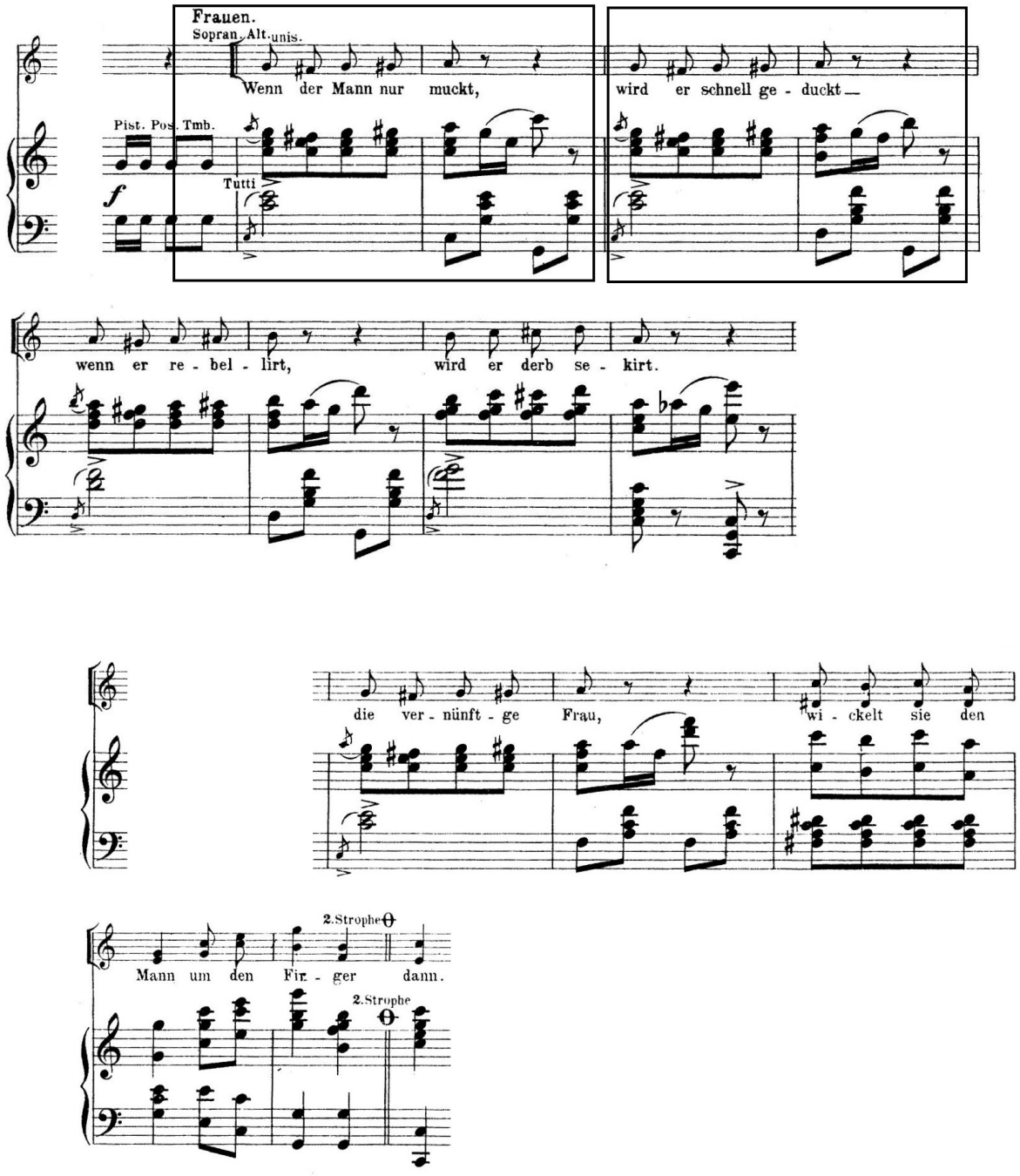
The V9 reappears as a brief gesture before the final prolonged tonic as well—see bar 83.



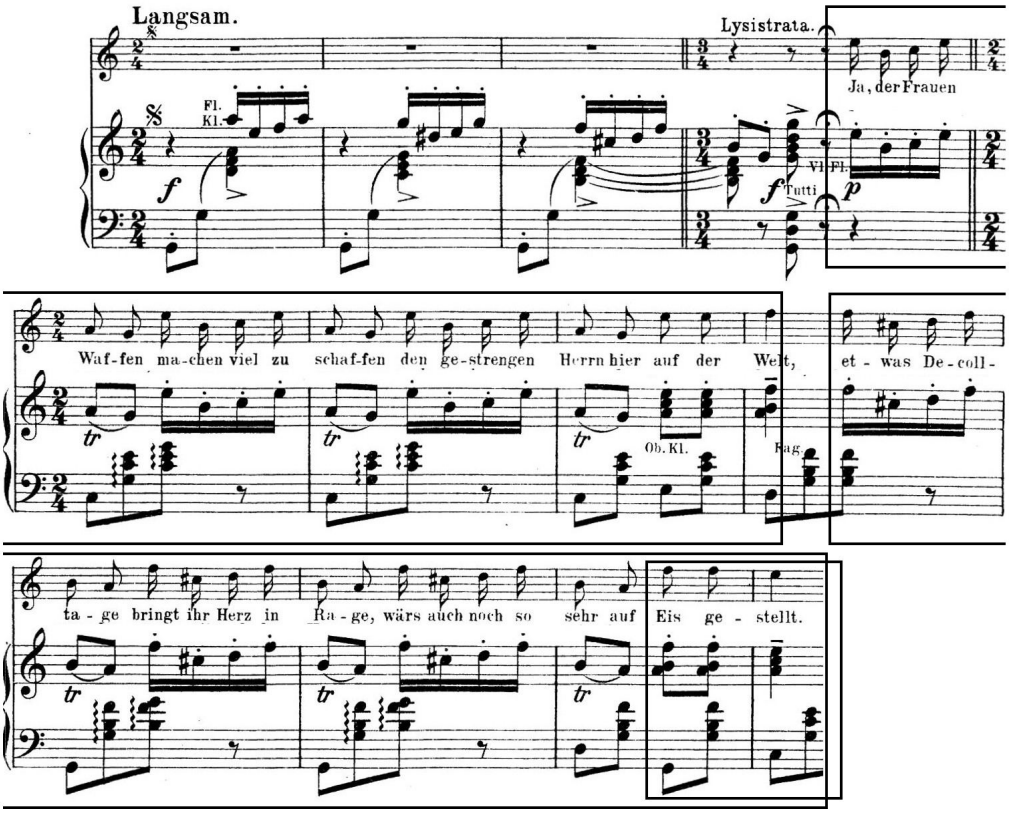
Paul Lincke, *Lysistrata* (1902)

Lincke was a successful professional musician in Berlin and is credited with establishing the Berlin operetta as a genre distinct from those in Vienna, Paris, and London. His two best-known works are early in his career: *Frau Luna* (1899) and *Lysistrata* (1902). The latter is a send-up of a Greek play, in the manner of Offenbach's *Orfée aux Enfers* and *La belle Hélène*, but Lincke's piece differs in that Aristophanes's original was also a comedy.

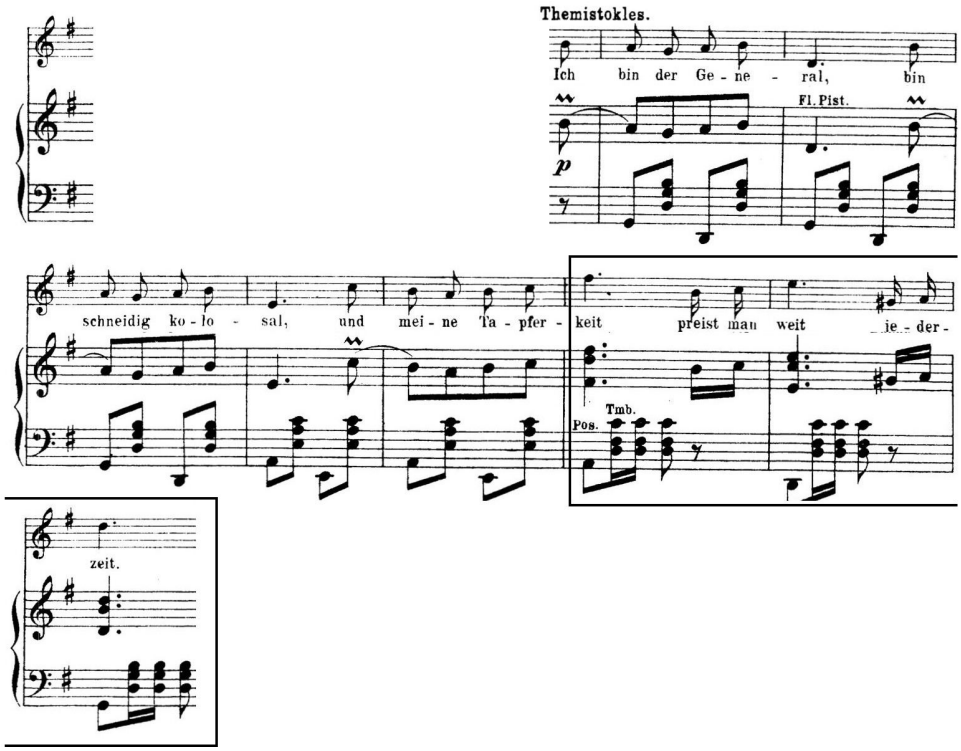
In no. 1, a choir of Athenian women respond to a march-theme from Polygamia (identified in the cast list as a midwife). Here are the beginning and end. The parallelism at the beginning is a familiar device, of course. Note that V9 plays no role at all in the approach to the final tonic.



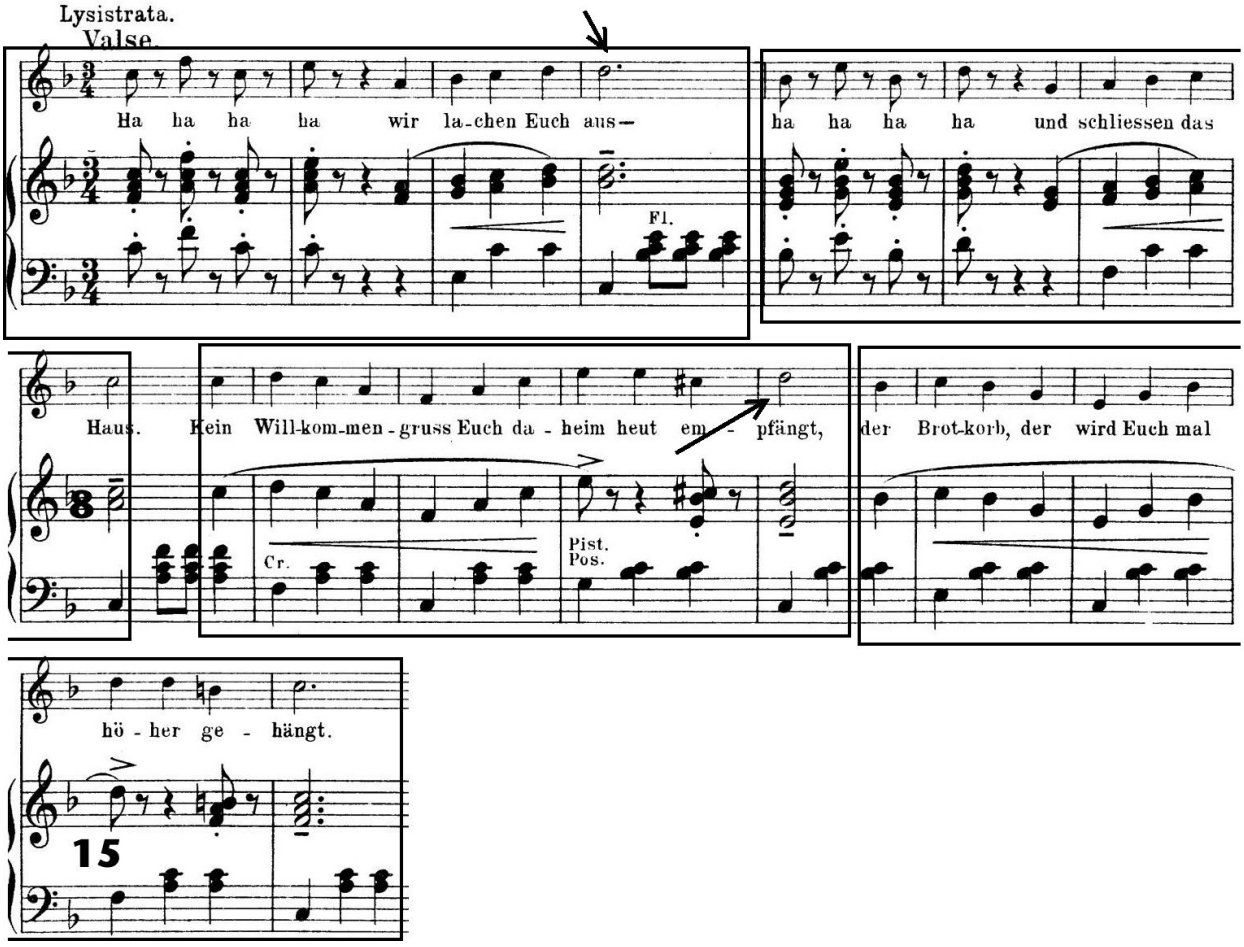
In no. 4, Lysistrata extols the power of women (the basic plot of the original play and the operetta is that women will deny sex to their Athenian and Spartan partners until the men stop their war). Parallelisms are again the basic method, now at four-bar phrase level.



The men are introduced in no. 5 with a military march. Their general is Themistocles, Lysistrata's spouse. Here the eight-bar antecedent closes with a direct resolution of V9 to I.

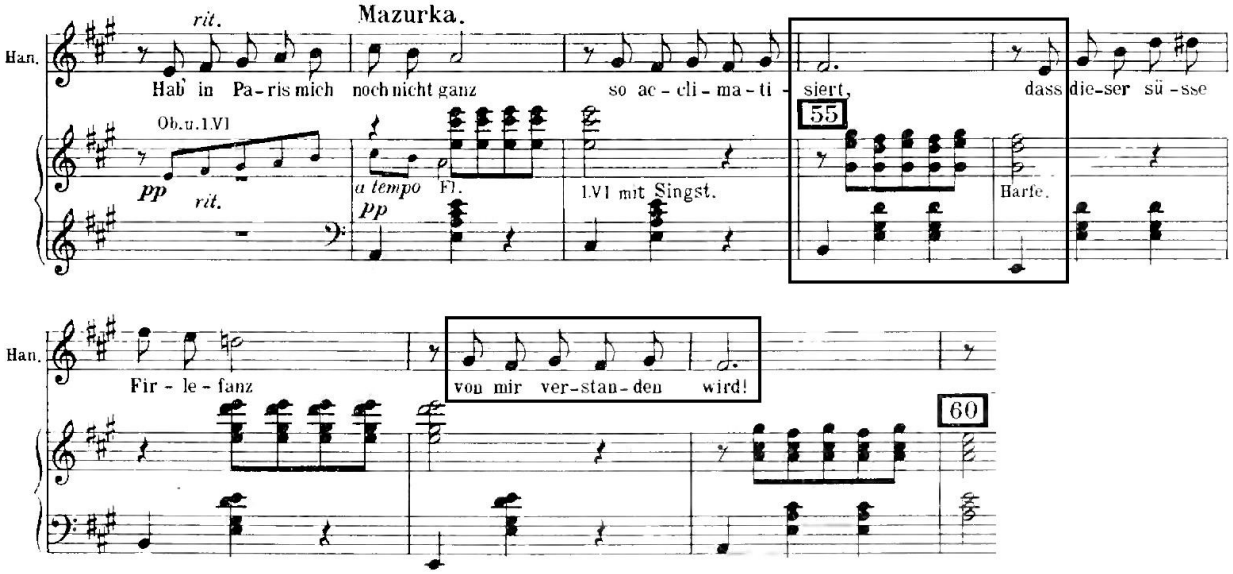


The conflict between the Athenian men and women is played out in the lengthy Act I finale. The women have gathered and locked themselves in the Temple of Athena (at least, I assume that's where they are, based on the play; I don't have a libretto and the vocal score offers no information). Lysistrata sings a mocking waltz tune early on. Here again, parallelisms, but also long-spun out indirect resolutions of V9.

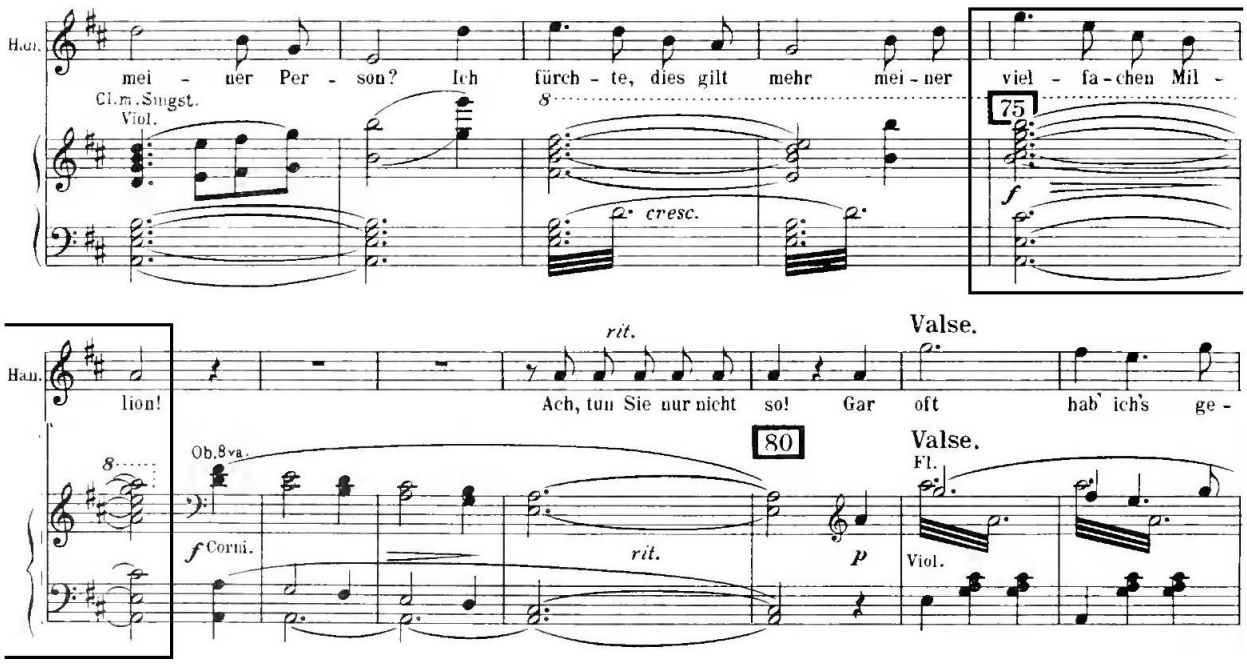


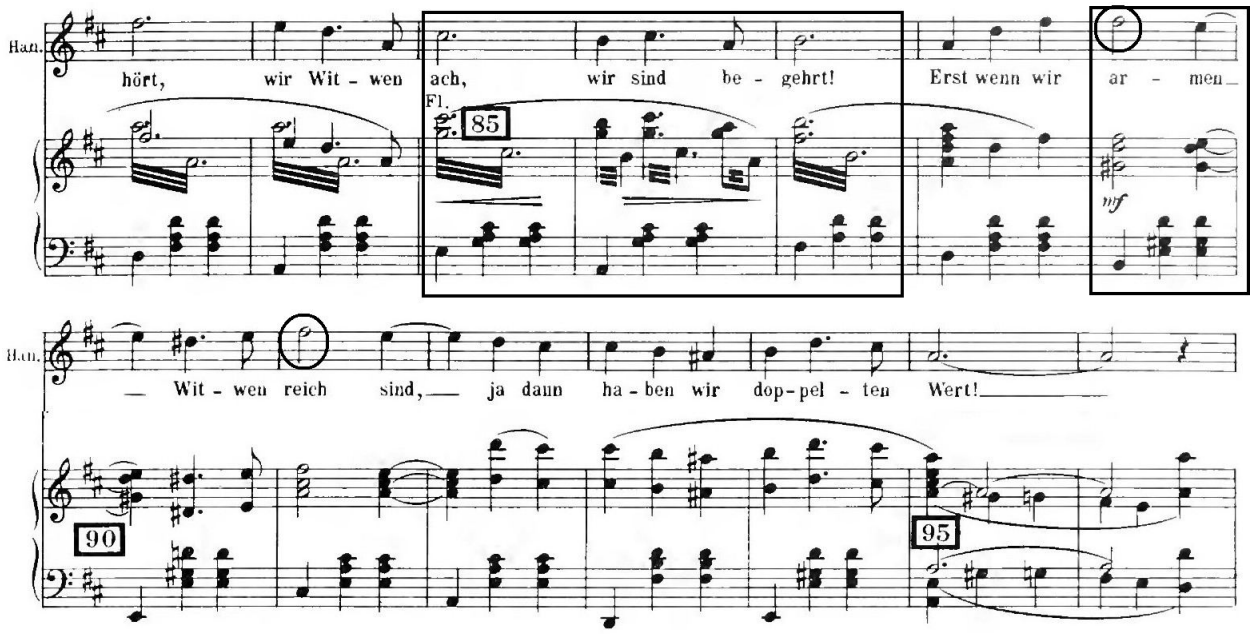
Franz Lehar, *Die lustige Witwe* (1906)

As part of her entrance number, Hanna sings a mazurka. In the opening, eight-bar level parallelism (as 4+4).

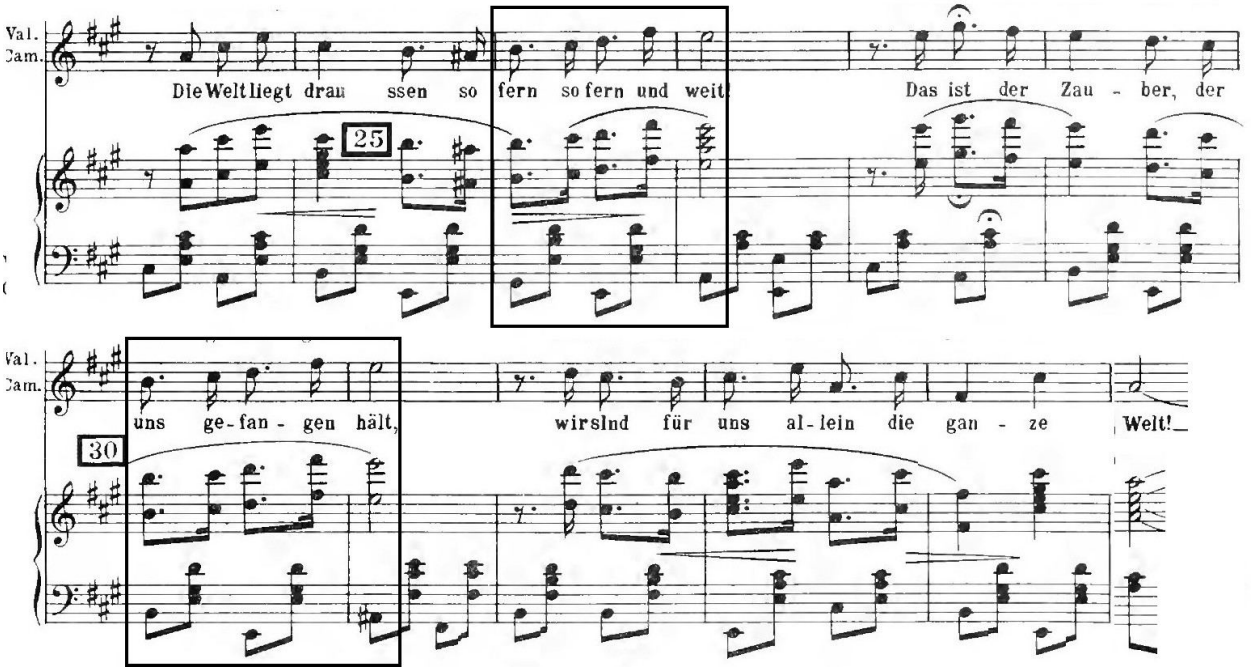


A short while later she turns to the waltz. (Example continues on the next page.) Two different but typical parallelisms in bars 85-88 & 89-91.

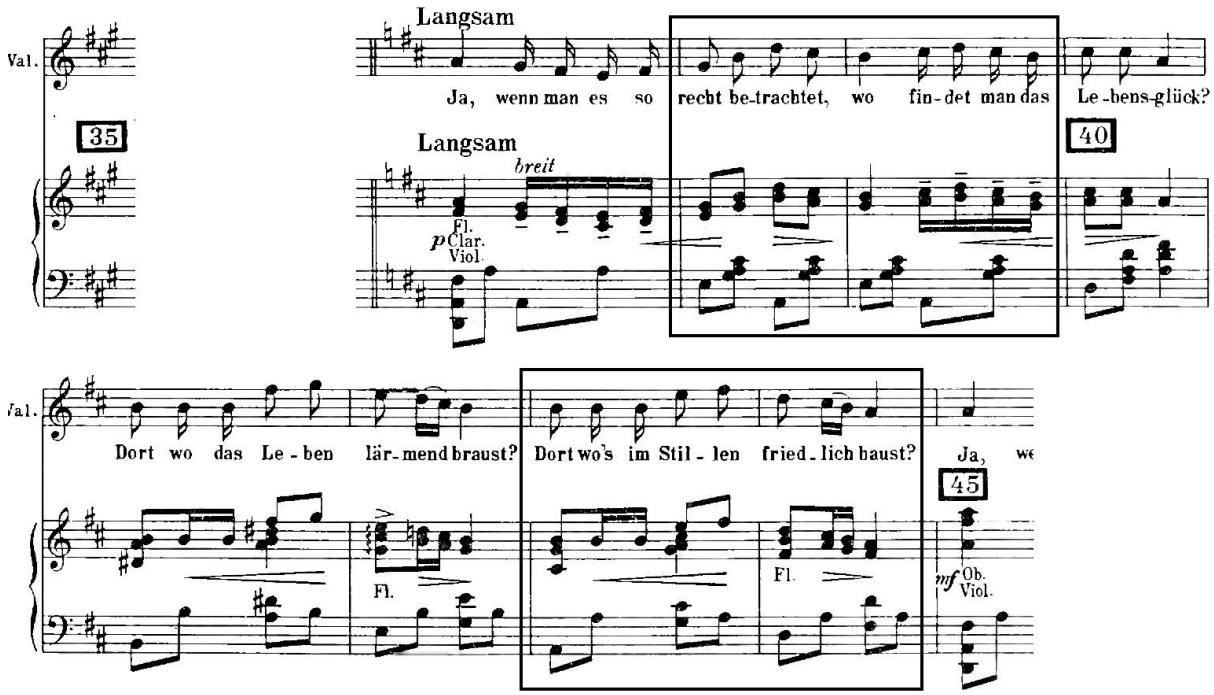




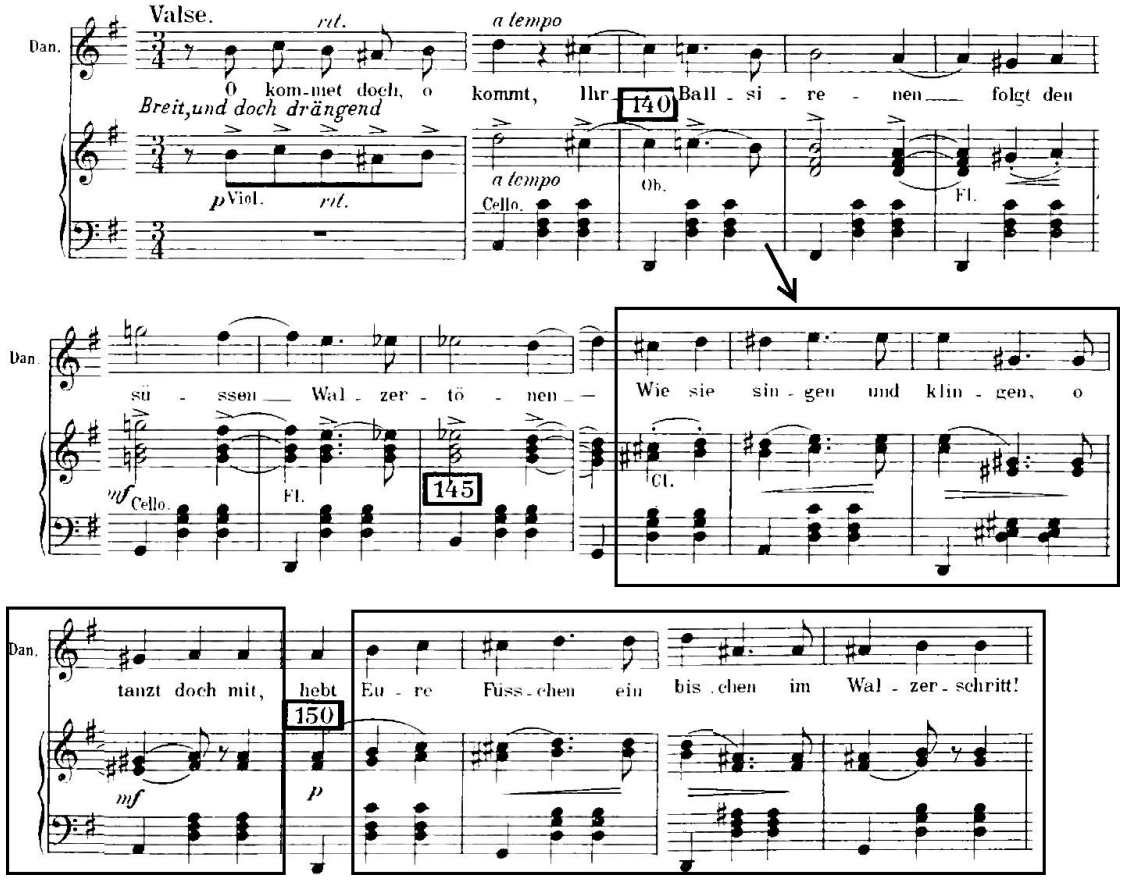
A duet extolling (but also debating) the virtues of domesticity is no. 5. Note the direct resolution in bars 26-27, if the ninth in V9 is brief. In the cadence, the melody has, first, the ninth (F#4), then the 13th (C#5).



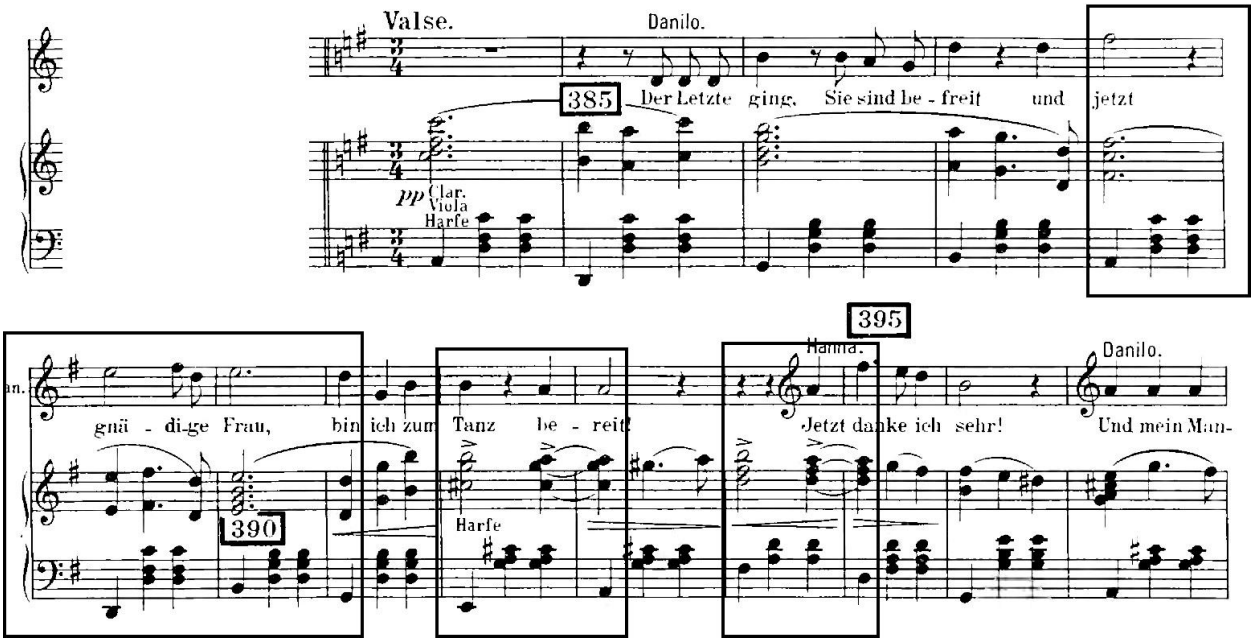
Later in the same number:



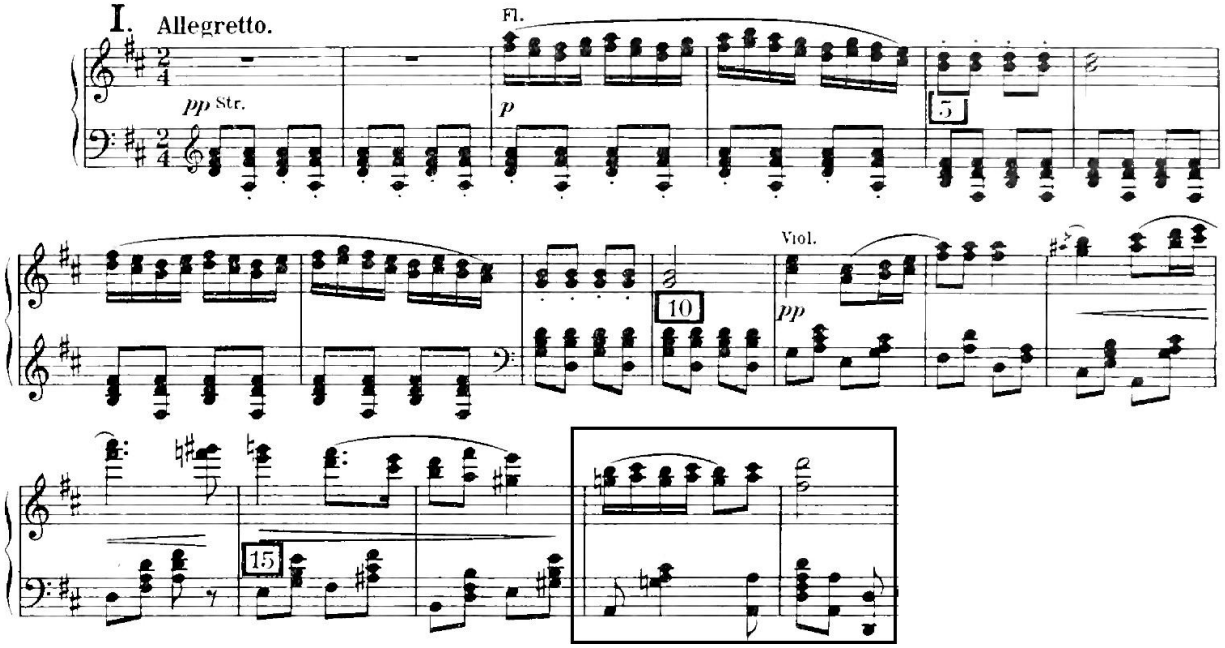
Danilo introduces one of two waltz melodies that will dominate the Act 1 finale (no. 6). Note the parallelism involving V9 in bars 146-150 & 150-153.



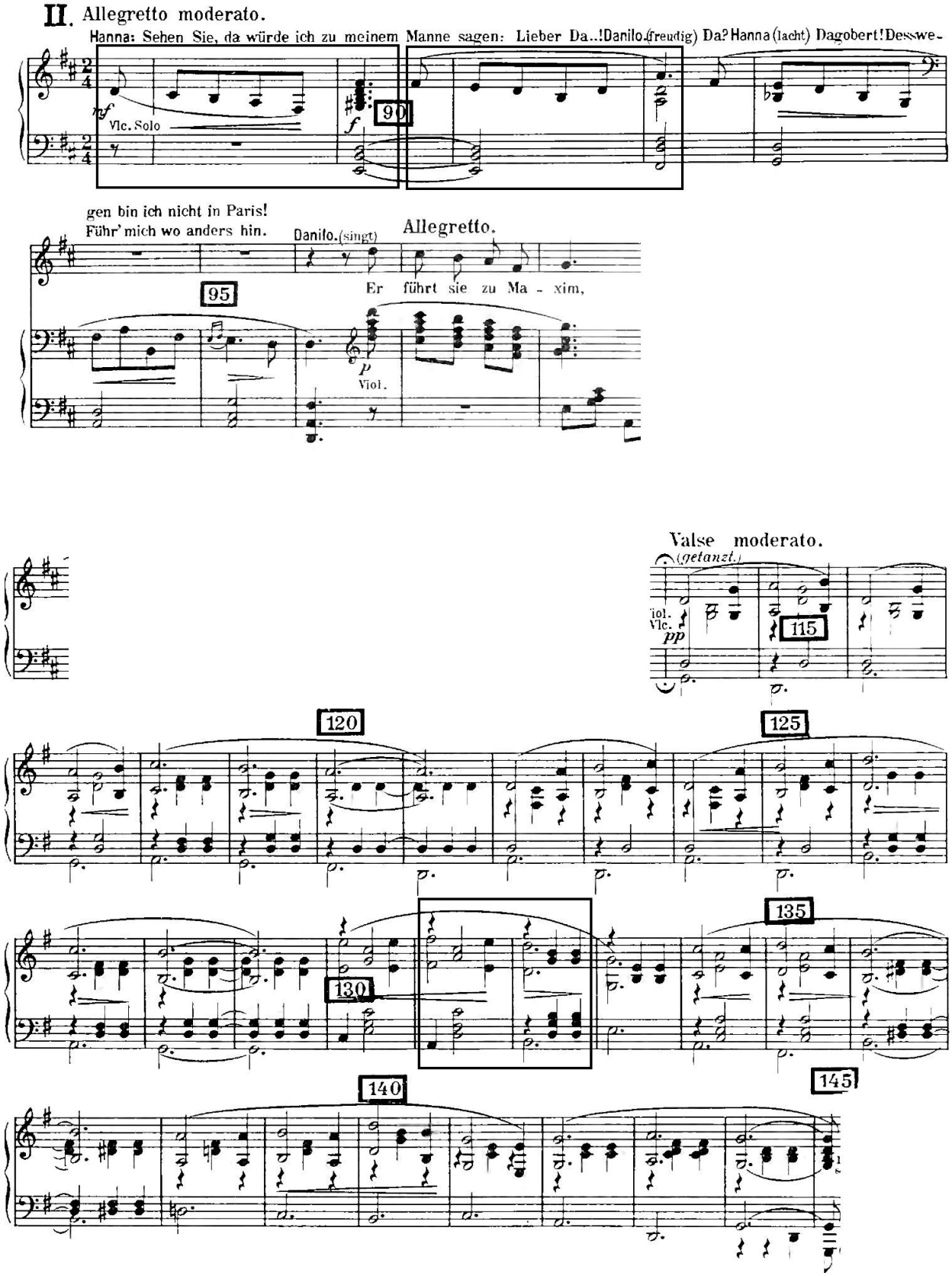
The other waltz melody, which in fact was already heard at the beginning of the finale, played by a stage orchestra:



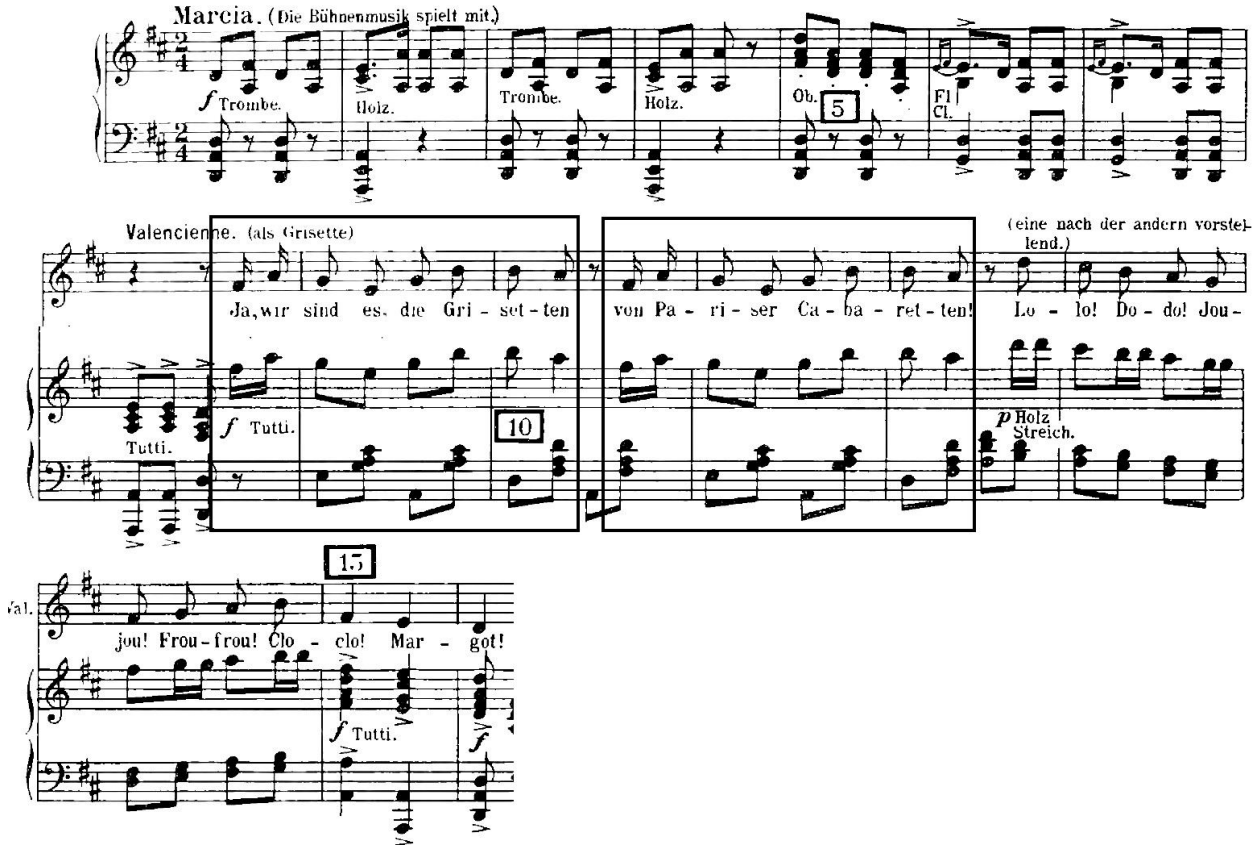
In Act 2, number 10 has two sections: the first—here—is music under dialogue, the second is a dance-duet. The clearly presented V9 in the cadence (bar 17) is rare for Lehar.



The beginning of the second section, leading to the famous "Merry Widow" waltz (bar 114 below). In the latter, there certainly are parallelisms but V9 is not involved — instead, it is given a sweetly expressive moment to begin the 16-bar continuation (see bars 130-132).

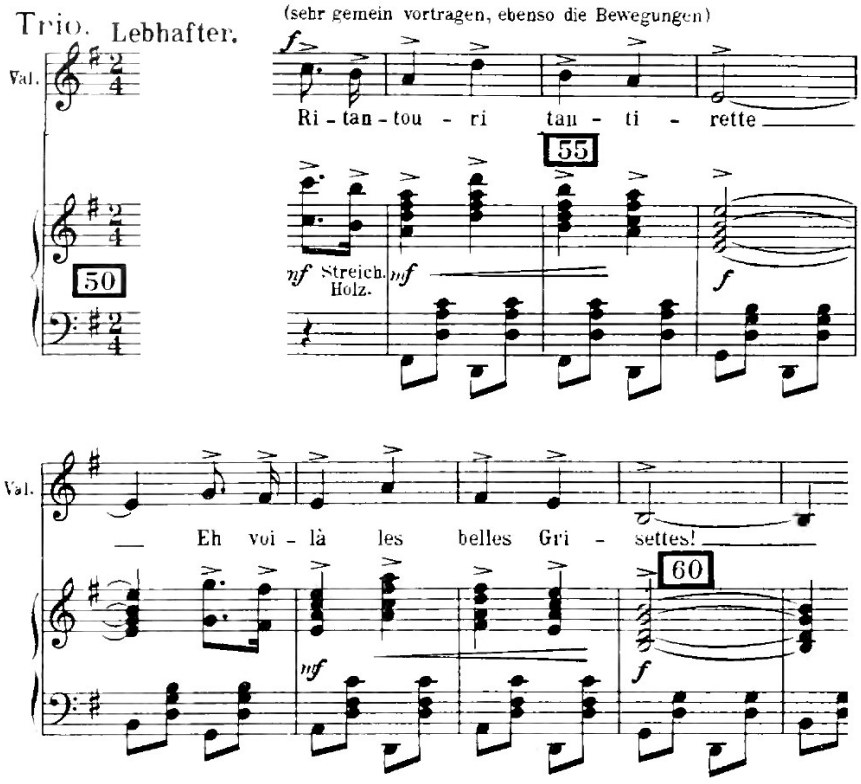


The "Grisetten-Lied" (no. 14), a can-can that follows the dances opening Act 3:



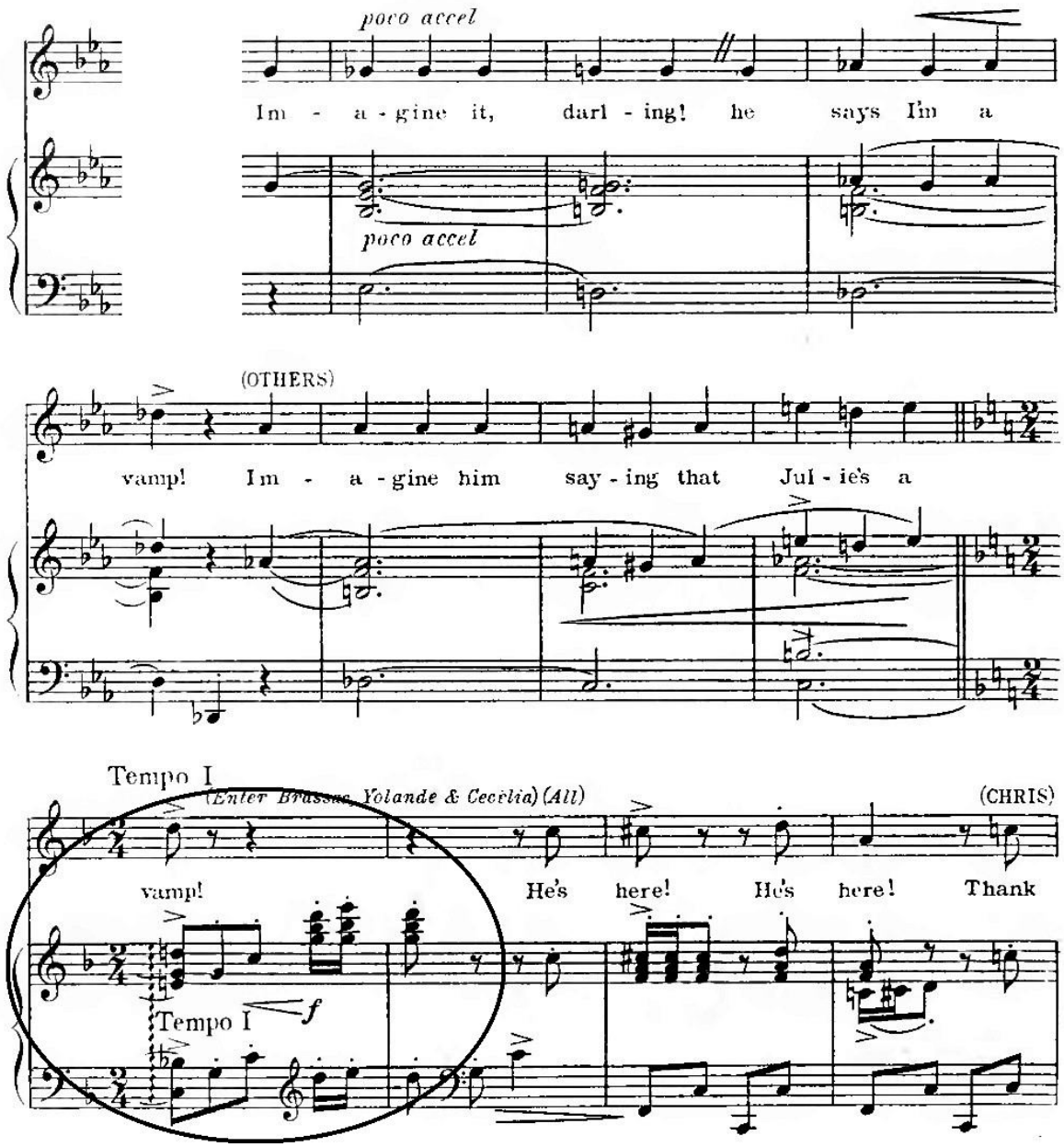
Trio to the can-can:

Note the emphatic V9 in ba 58 and the drop from the ninth in bars 59-60.

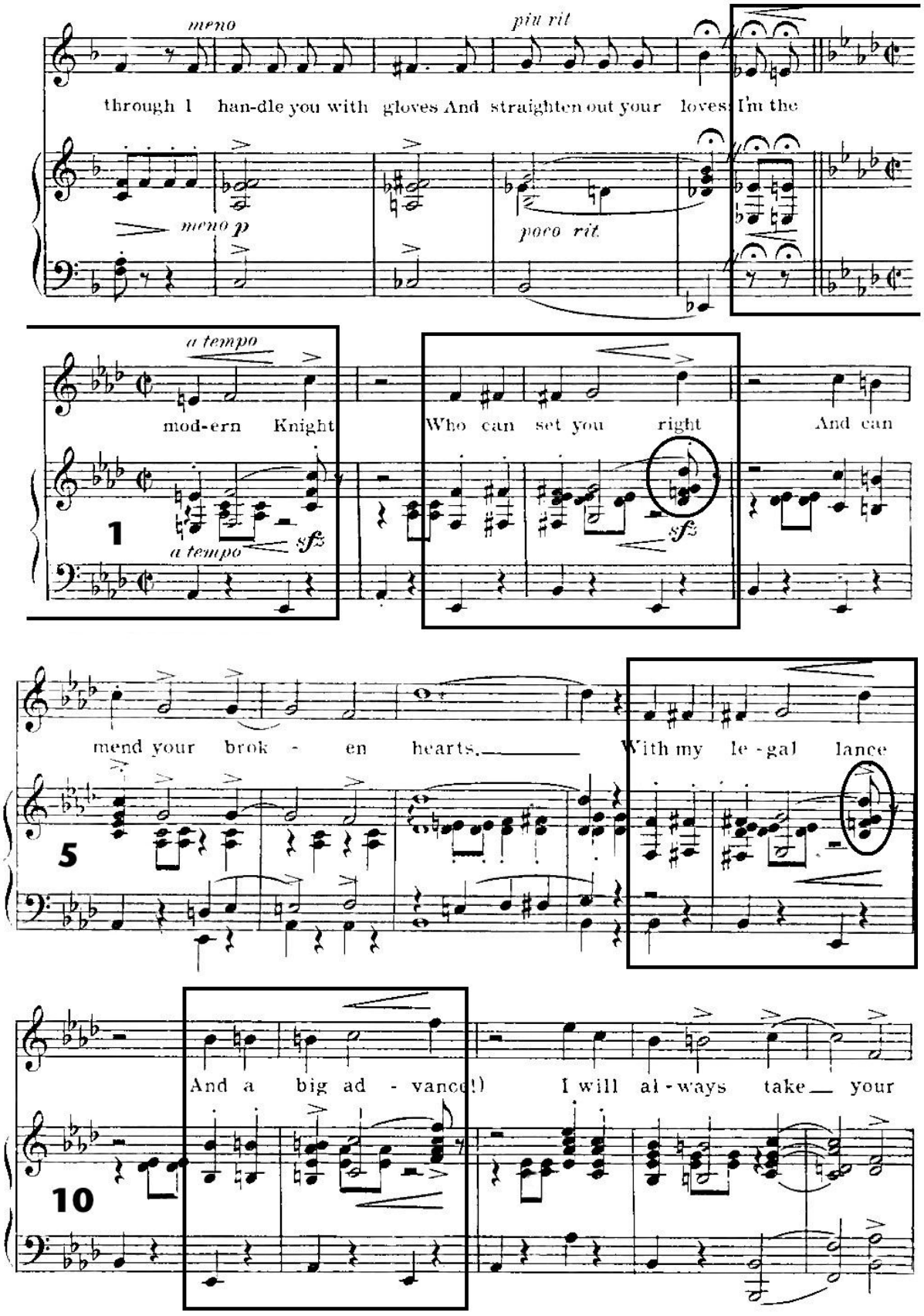


Victor Herbert, *Orange Blossoms* (1922)

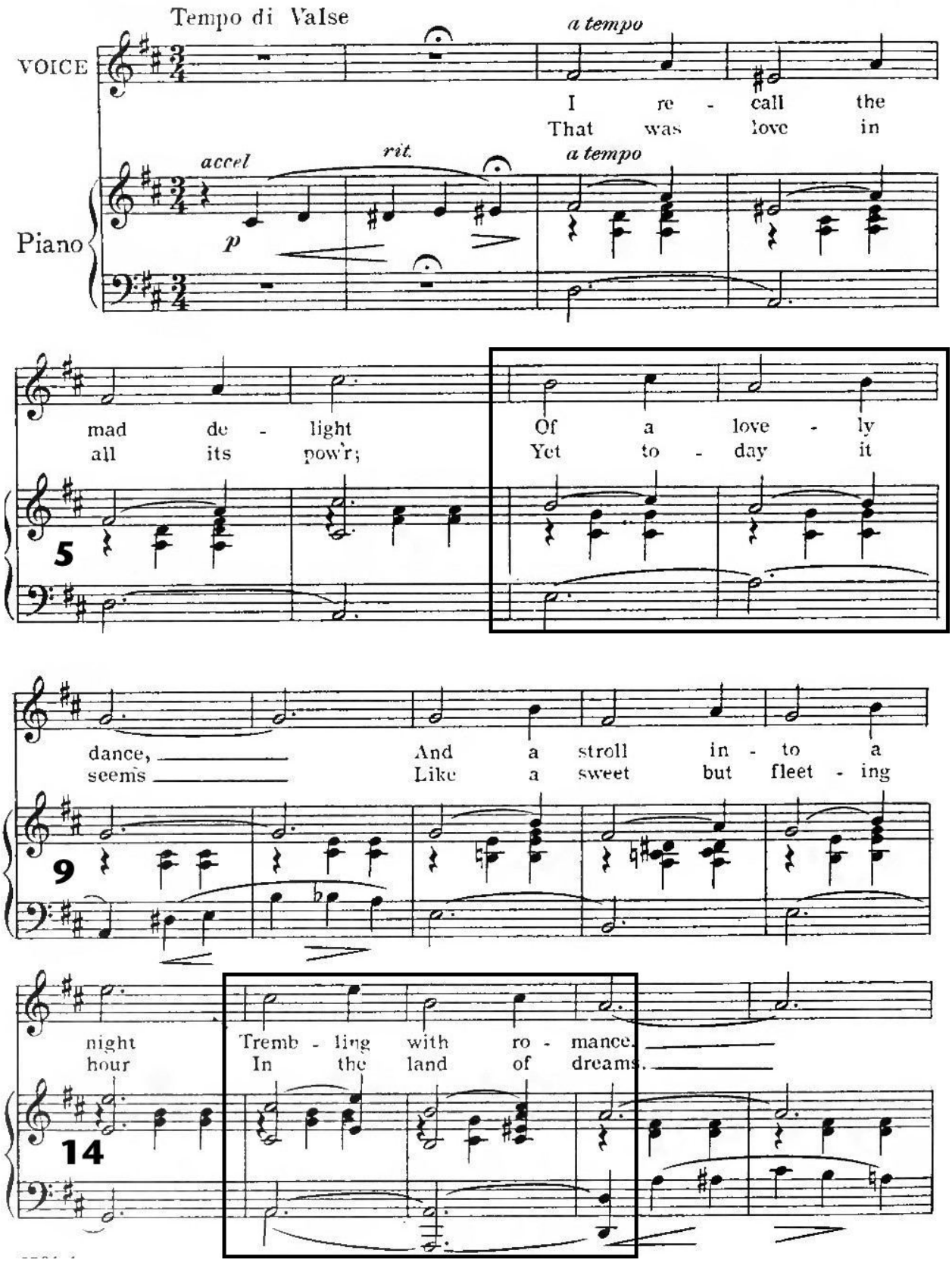
In the opening number, a Parisian divorce lawyer interacts with women who want to hire him. In the excerpt below, the women are talking as he arrives, and an exclamation brings an emphasized V9 (circled). He offers up a number full of self-praise, "I'm the modern Knight"—see the end of the verse and first part of the refrain on the next page. Parallelisms are boxed.

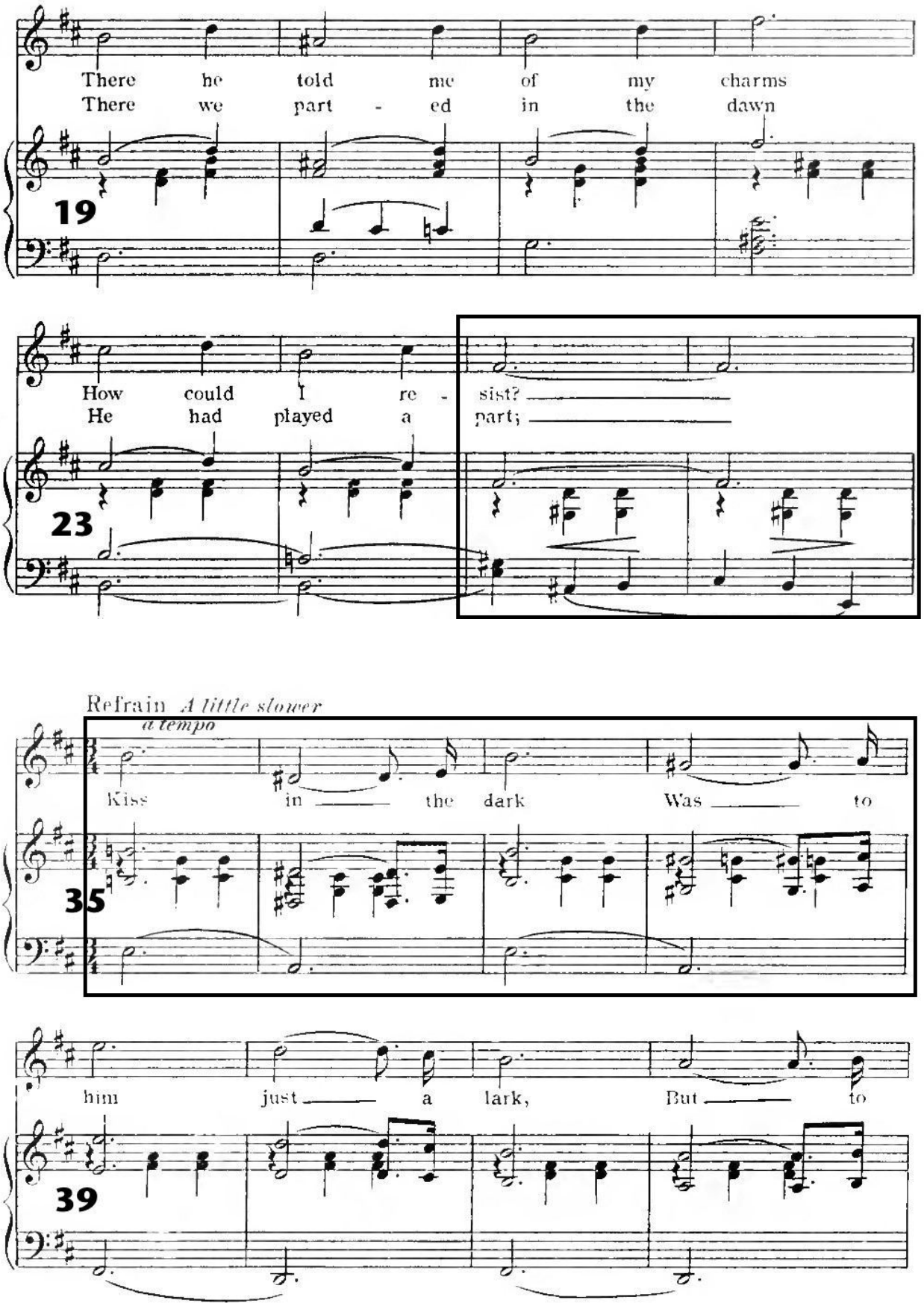


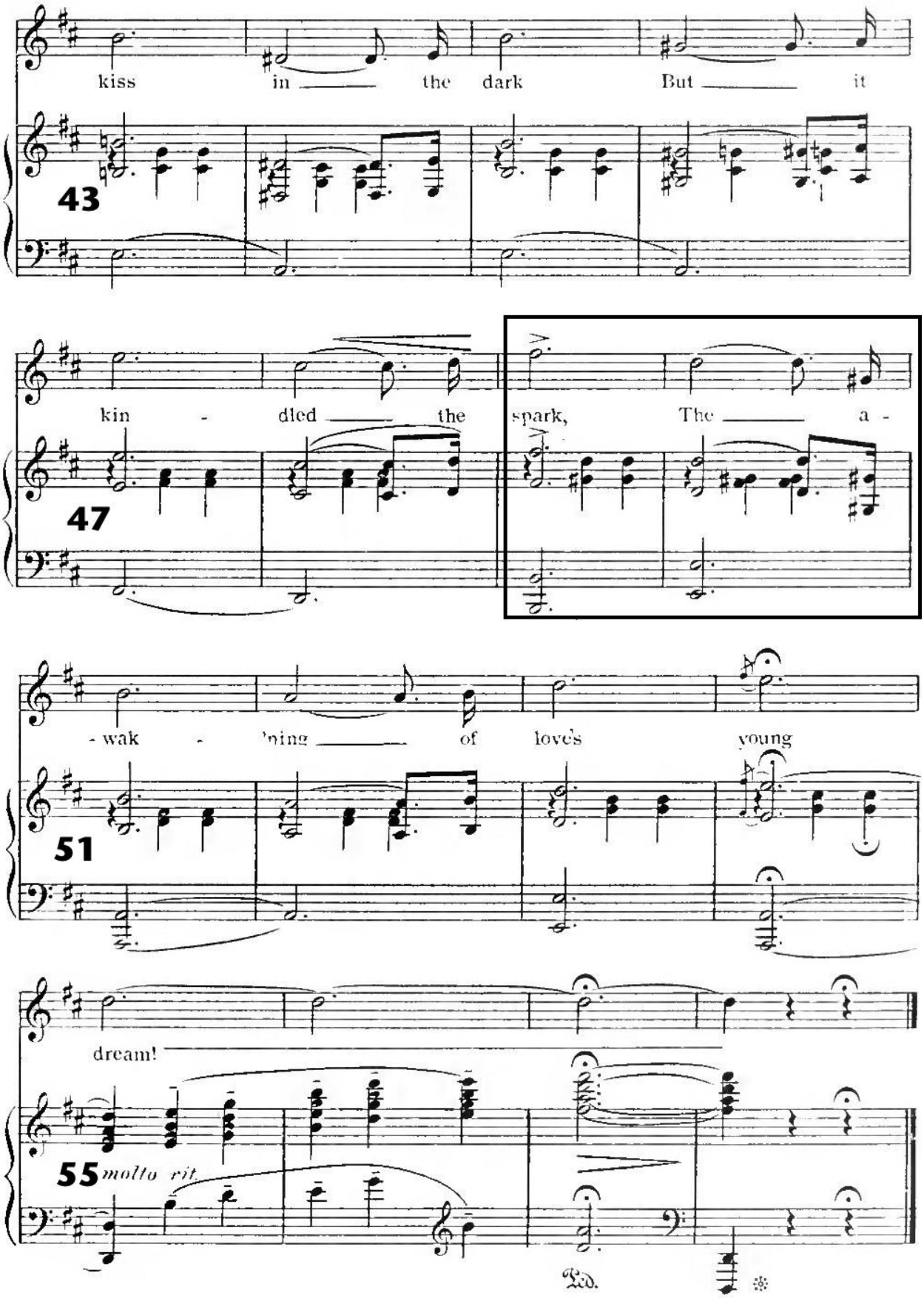
("I'm a modern Knight," end of verse and start of the refrain)



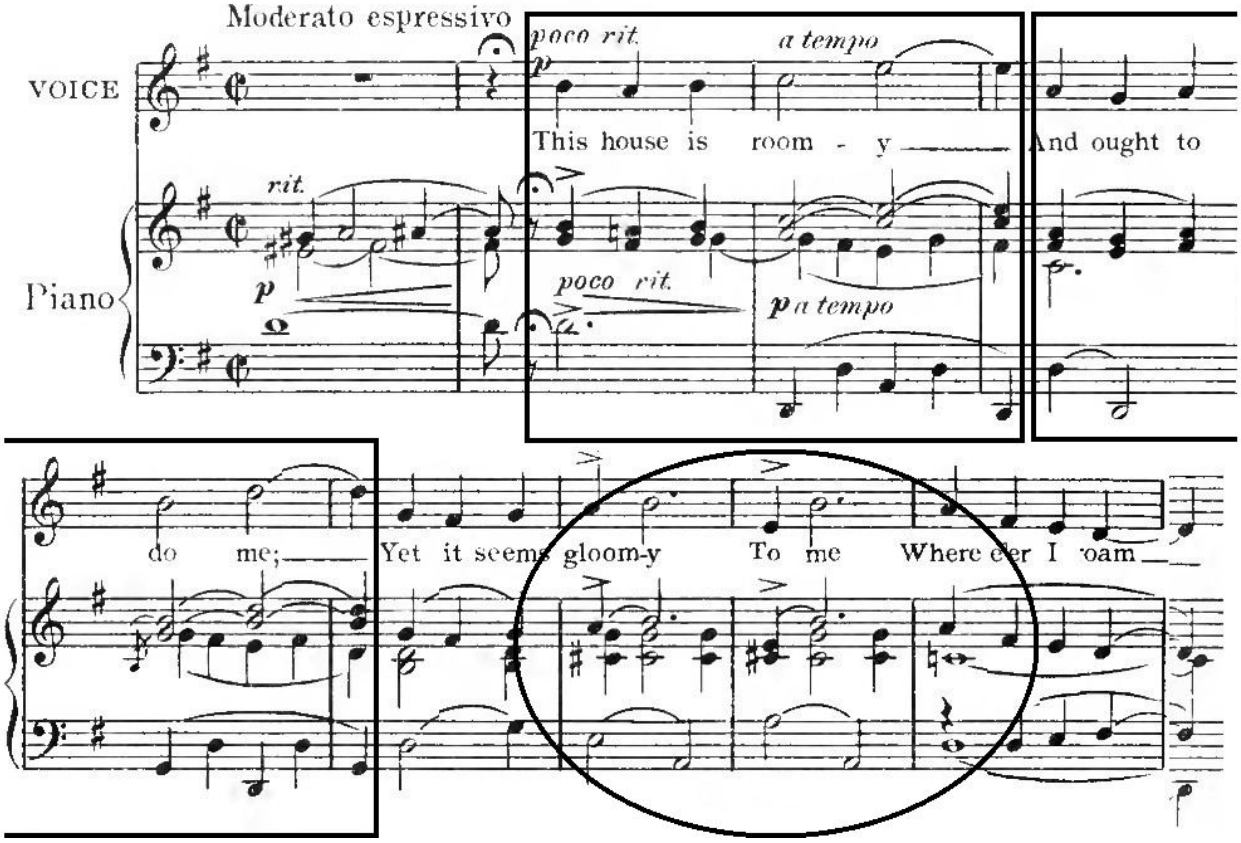
The male lead, Baron Roger Belton, sings the second number, then Kitty, the female lead, sings no. 3 "A Kiss in the Dark." The entire score is below; characteristic waltz uses of V9s are boxed. The refrain is reprised at the end of Acts 1 and 3 (end of the operetta).



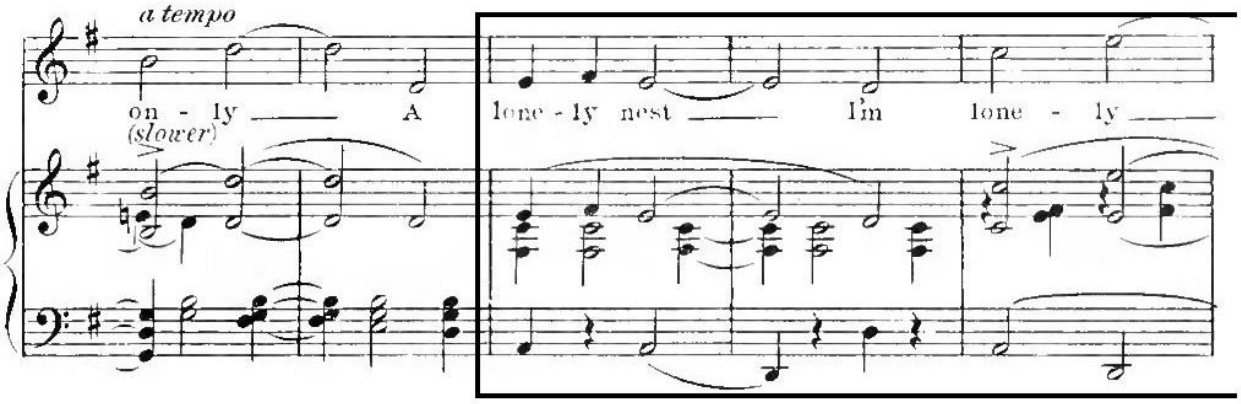

There he told me of my charms
There we part - ed in the dawn
19
How could I re - sist?
He had played a part;
23
Refrain A little slower
a tempo
Kiss in the dark Was to
35
him just a lark, But to
39

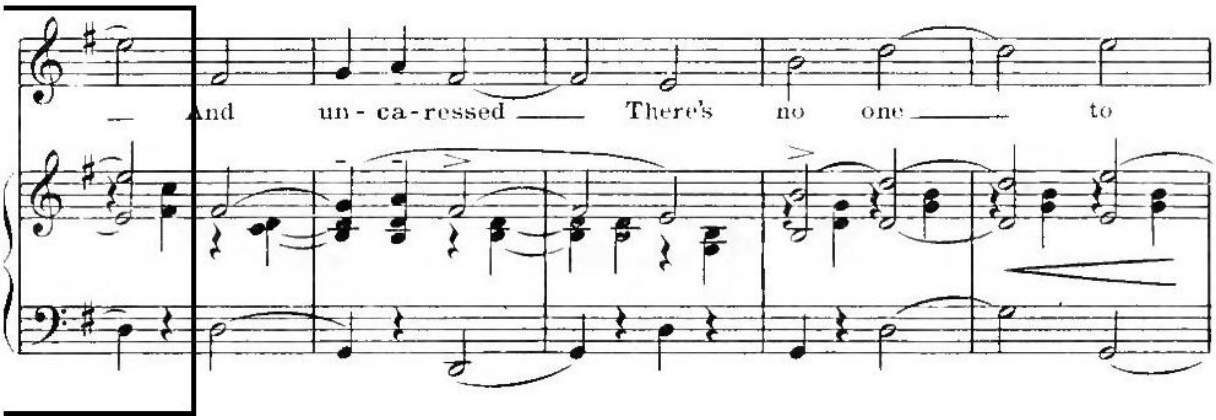

kiss in the dark But it
43
kin - dled the spark, The a -
47
- wak - ning of love's young
51
dream!
55 molto rit.
Ped.

Midway through the second act, "The Lonely Nest" is in three sections: (1) verse; (2) foxtrot refrain ("It's only a lonely nest"); (3) barcarolle second refrain as a variation of the first. The opening presents a typical parallelism immediately (boxed) and then an emphasized and expressive V9/V (circled).

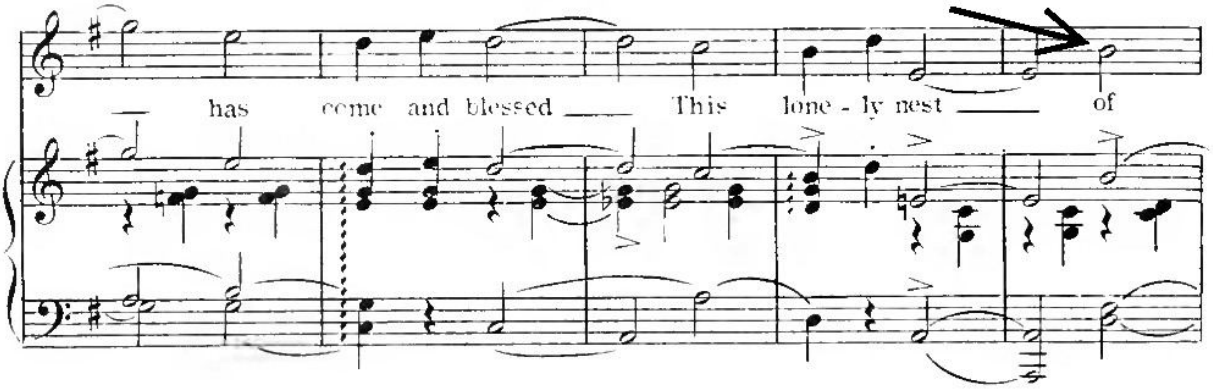


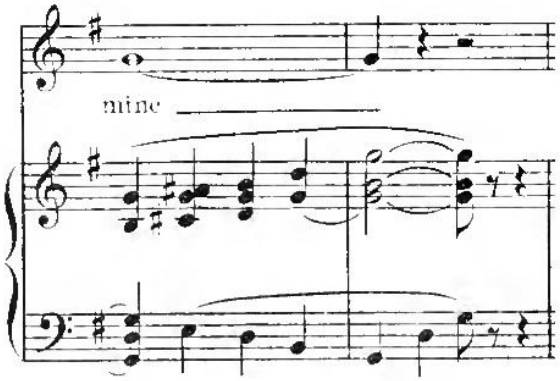
In the first refrain, bars 1-4 & 5-8, a 4 + 4 parallelism with flipped harmonies (I-V, then V-I, a device at least as old as Schubert waltzes) gives us quite a bit of V9 in the two dominant ideas (bars 3-6, boxed). Example continues on the next page.



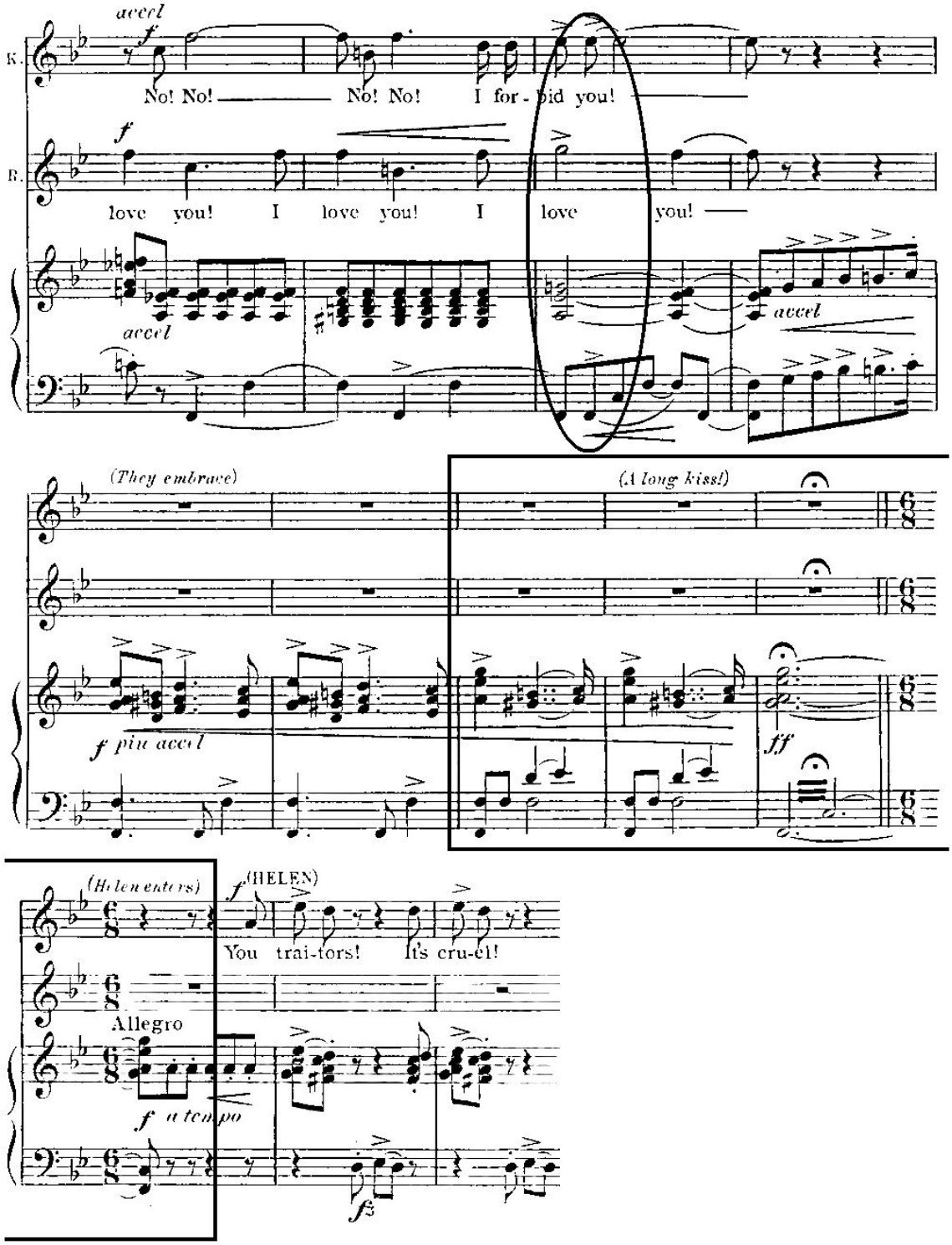


No V9s in the final bars. I have provided the excerpt to show the clichéd V13 in the final cadence. We'll see this again below in Kern's musicals.

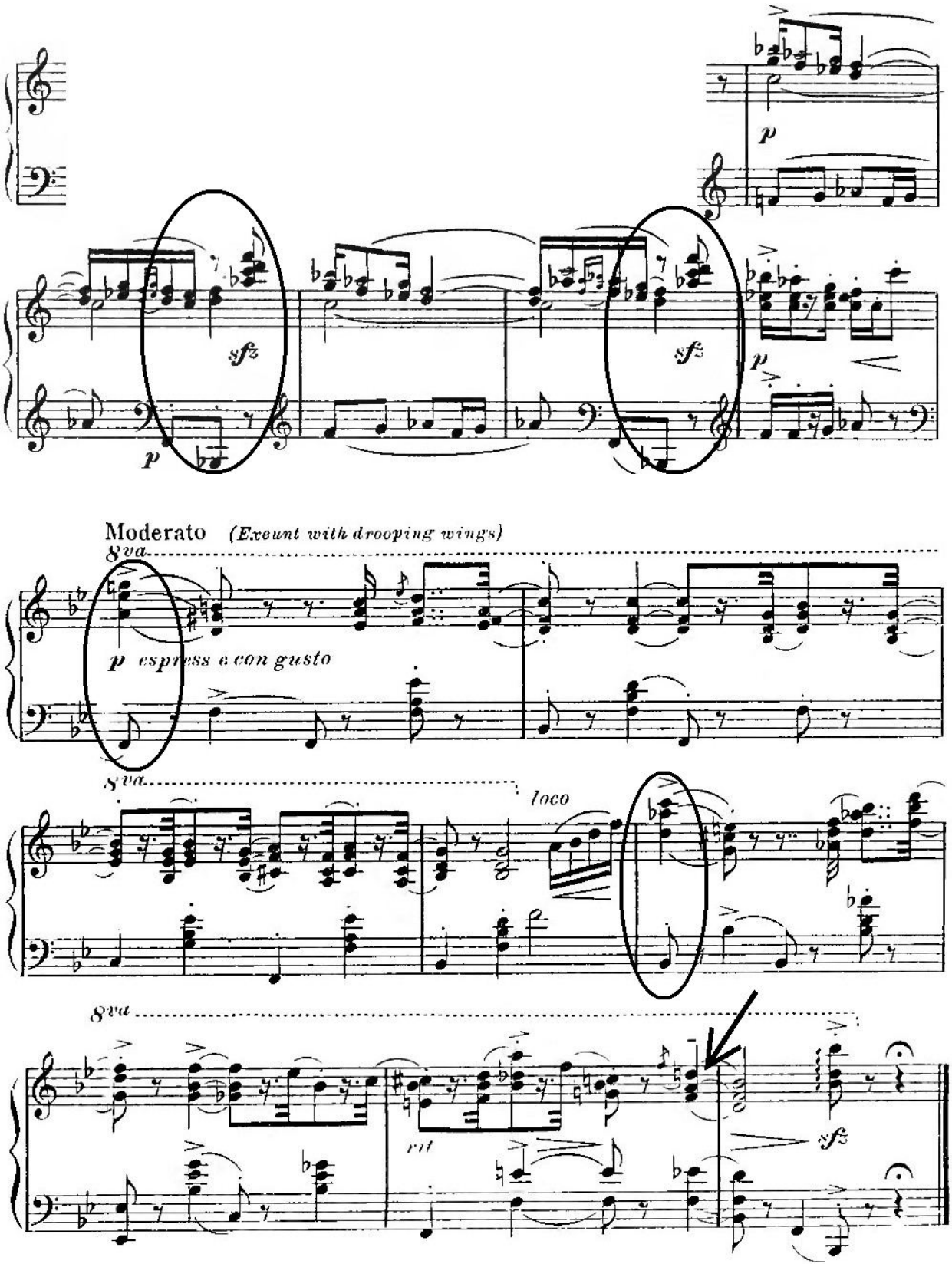




The basic plot of the operetta is that Kitty has agreed to a sham marriage to Roger (why I'm not sure), but the two eventually fall in love. In the finale of Act 2 (no. 17), they declare same to each other, kiss to a climactic sustained V9, and are promptly discovered by Helen, Roger's girlfriend.

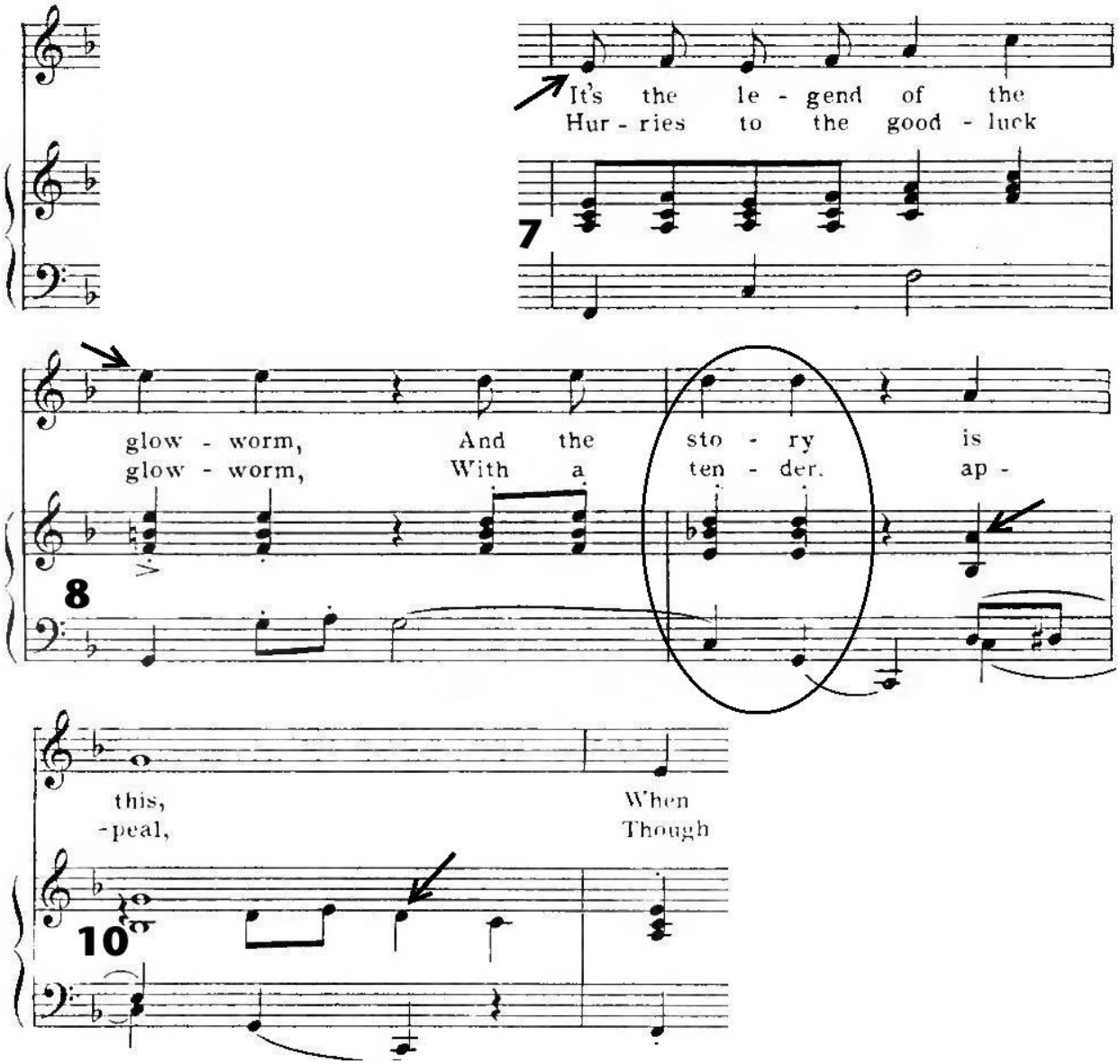


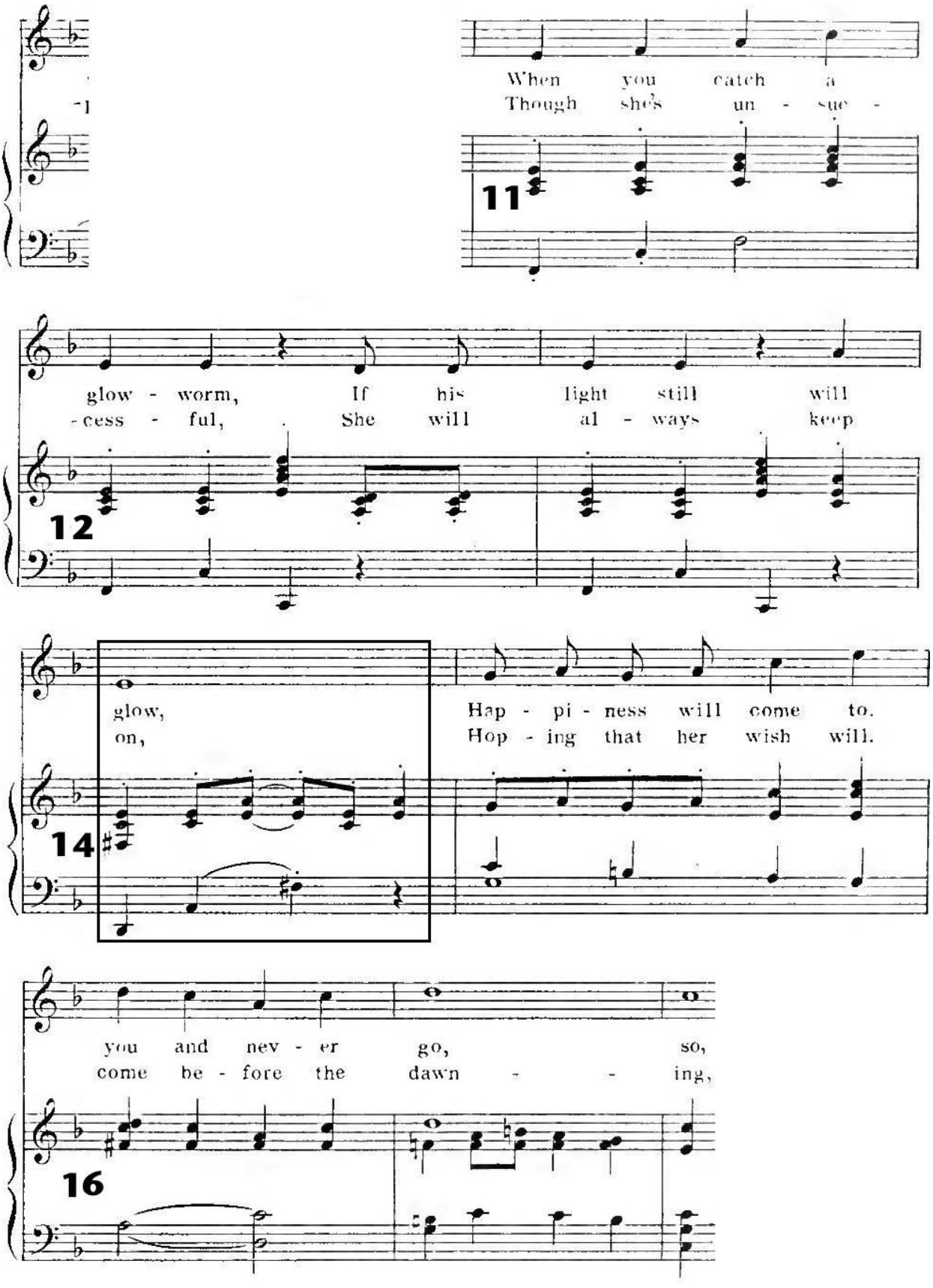
Act 3 opens as an evening scene with instrumental music and dance, "Moonshine" and "Mosquito Ballet" (no. 18). The latter gives us some *sforzando* V9s (circled) and the ending (third system below) someting similar. The arrow indicates still another V13 in the final cadence.

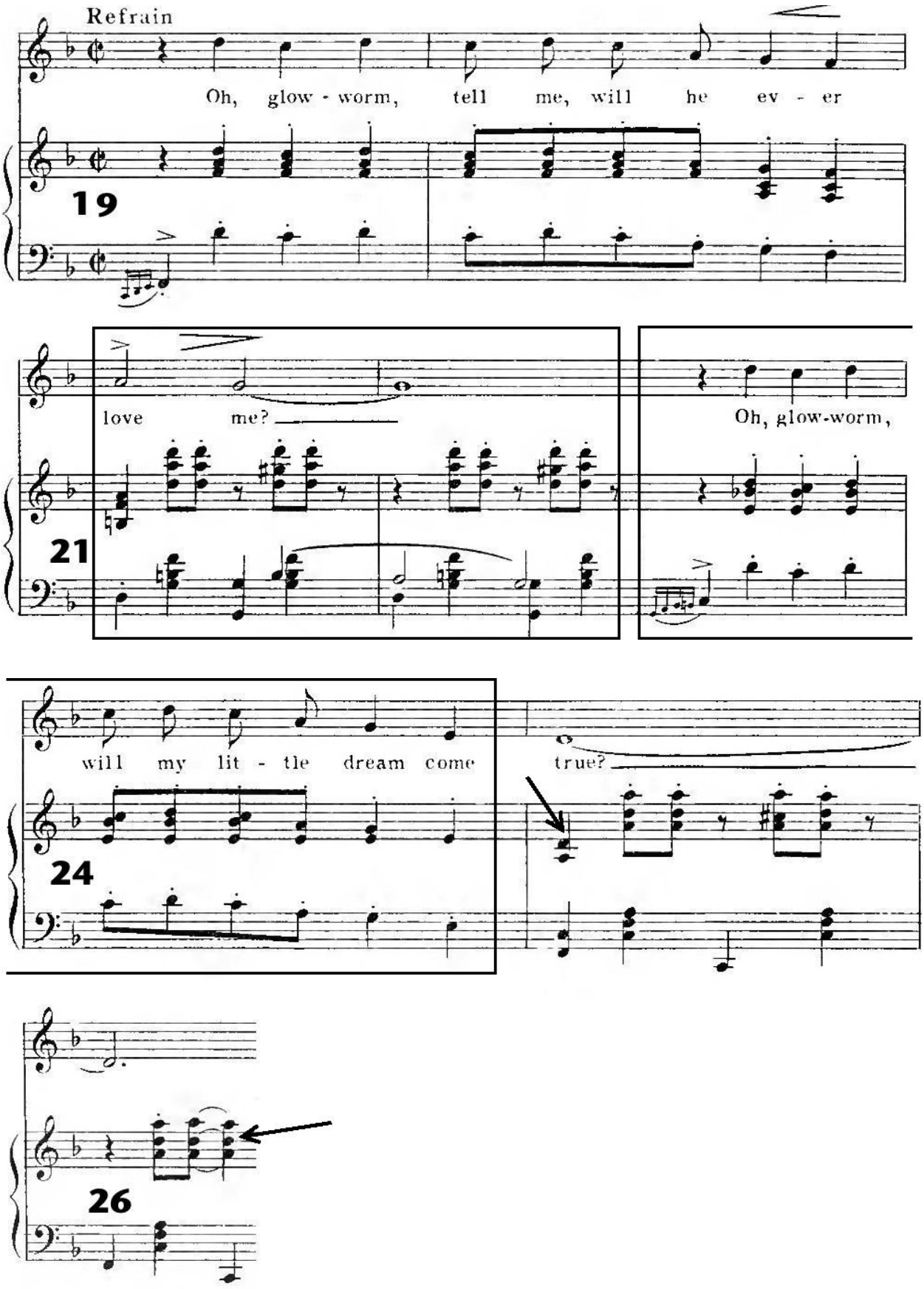


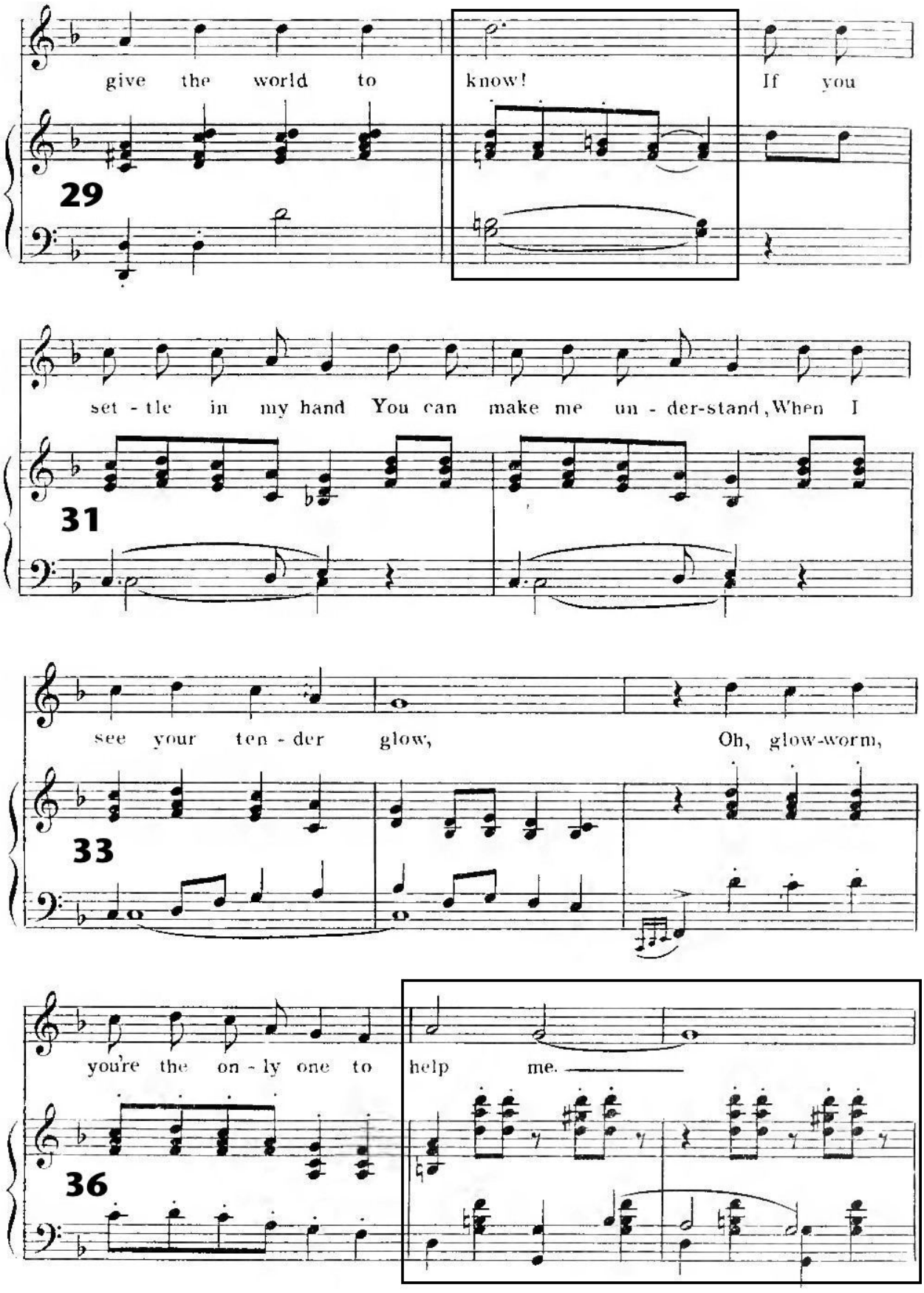
Kitty, on her own at this point, sings "The Legend of the Glowworm" (no. 19). A surprising amount of coloration to the harmony in the opening, as if I7 in bar 7, V13/V in bar 8, and V9 after that.

On the next page, as the verse heads toward a cadence, the penultimate phrase stops on an expressive C: V9/V (boxed, bar 14). The opening of the refrain includes parallelisms (bars 21-22, 23-24) and another phrase-ending V9/V (bar 29).



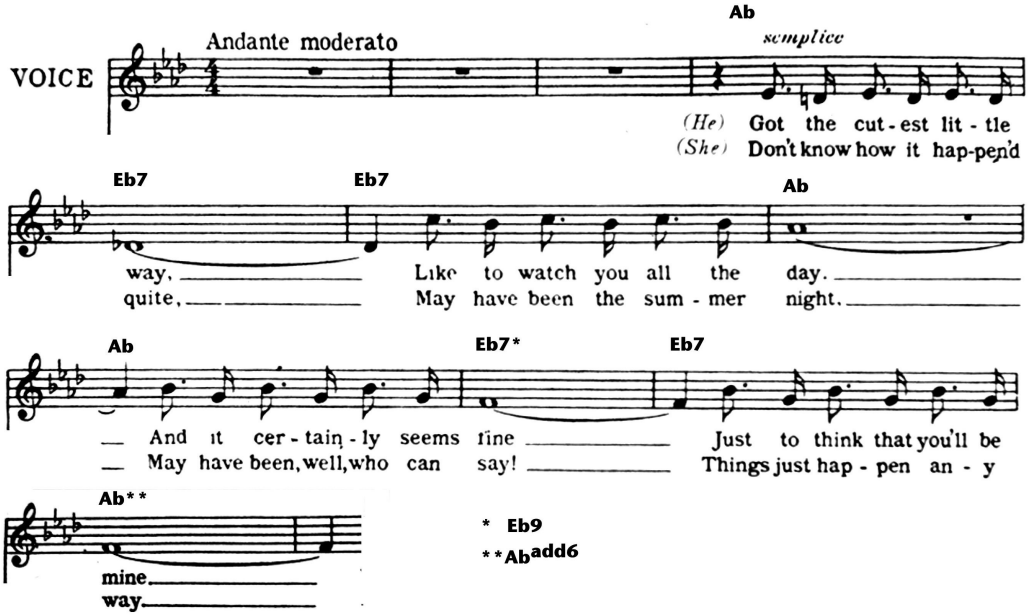

When you catch a
Though she's un - suc -
11
glow - worm, If his light still will
-cess - ful, She will al - ways keep
12
glow, Hap - pi - ness will come to.
on, Hop - ing that her wish will.
14
you and nev - er go, so,
come be - fore the dawn - - ing,
16

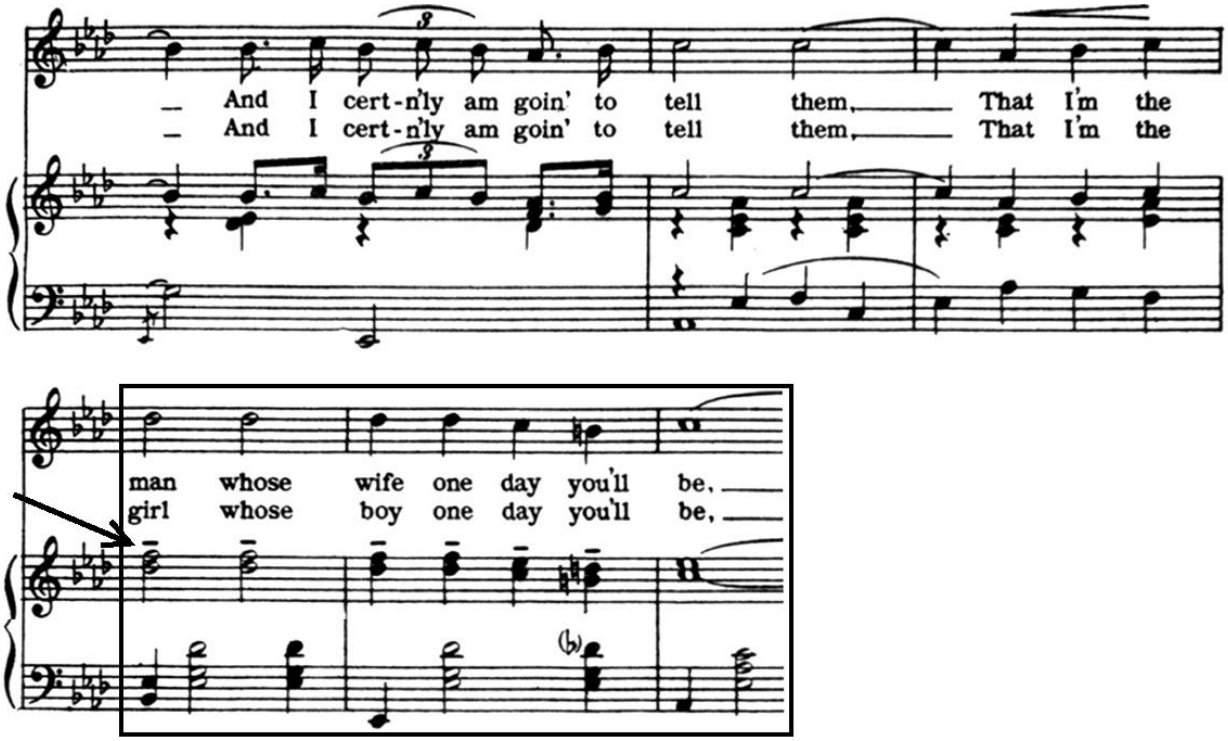

Refrain
Oh, glow - worm, tell me, will he ev - er
19
love me?
Oh, glow-worm,
21
will my lit - tle dream come true?
24
26


give the world to
know!
If you
29
set - tle in my hand You can make me un - der-stand, When I
31
see your ten - der glow,
Oh, glow-worm,
33
you're the on - ly one to
help me.
36

Jerome Kern, *The Girl from Utah* (1914), "They Didn't Believe Me"

Although I referred to "the Princess Theatre musicals of Jerome Kern" in the introduction, strictly speaking only one of the three musicals I draw examples from here belongs to that group: *Have a Heart* (1917). *The Girl from Utah* (1914) was produced first in London (Kern was not involved), then in a revised version on Broadway with five songs by Kern added, including "They Didn't Believe Me," the first and also highly influential love song in a fox-trot style. I show the opening of the verse, voice only, with chord symbols added, and bars 2-6 of the third unit in an AA'BC design from the refrain.

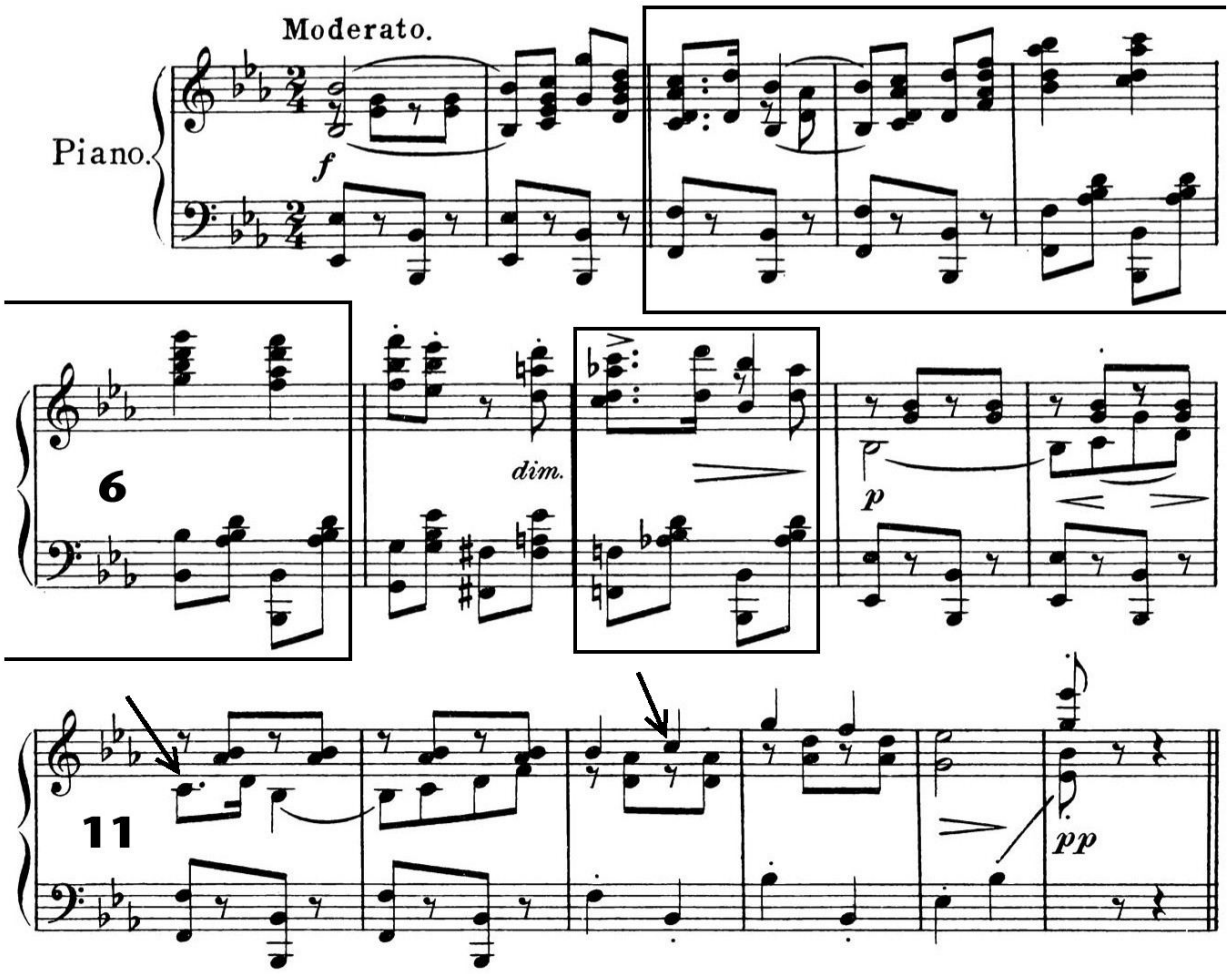




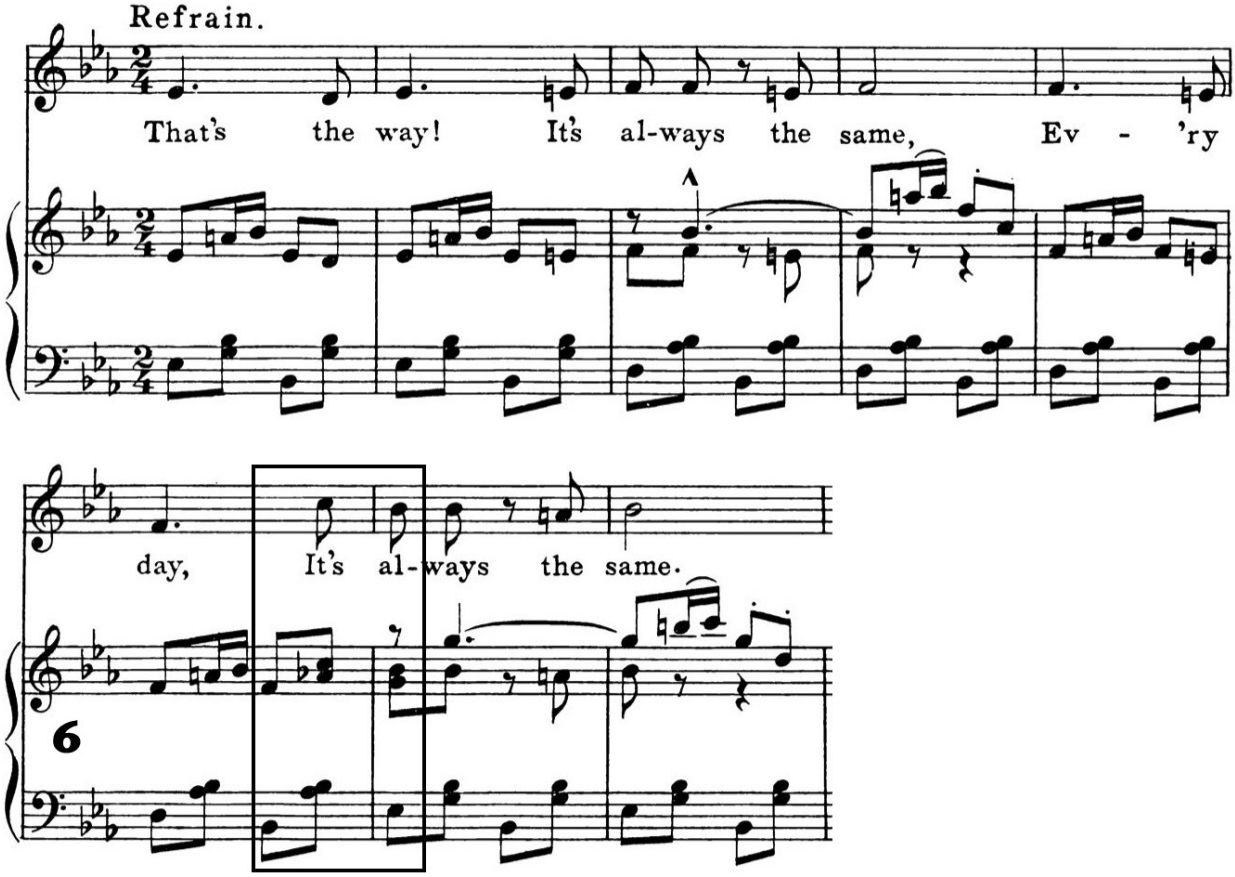
Jerome Kern, *Have a Heart* (1917)

The Princess Theatre was one of the smallest on Broadway at 300 seats. (By contrast, the Knickerbocker, where *The Girl from Utah* was produced, had 1500.) The shows presented there from 1915 to 1918 by the team of Kern, Bolton, and Wodehouse focused on contemporary American settings and themes in uncomplicated productions (in part they eschewed spectacle because the theatre was so small).

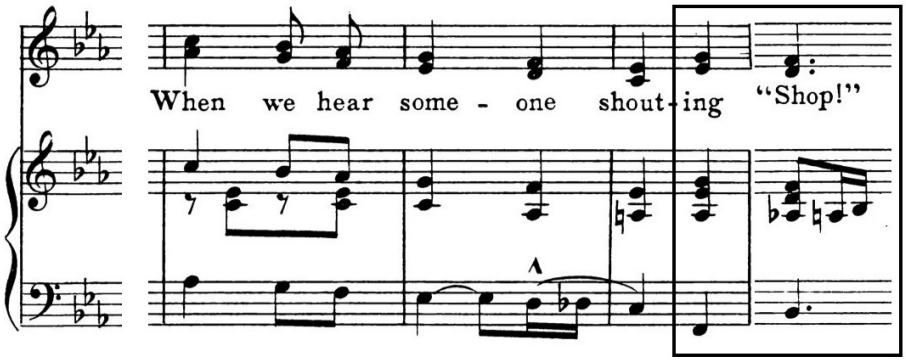
The salesgirls' entrance immediately after the overture is a march with a parade of V9s that resolve internally, either ascending or descending.



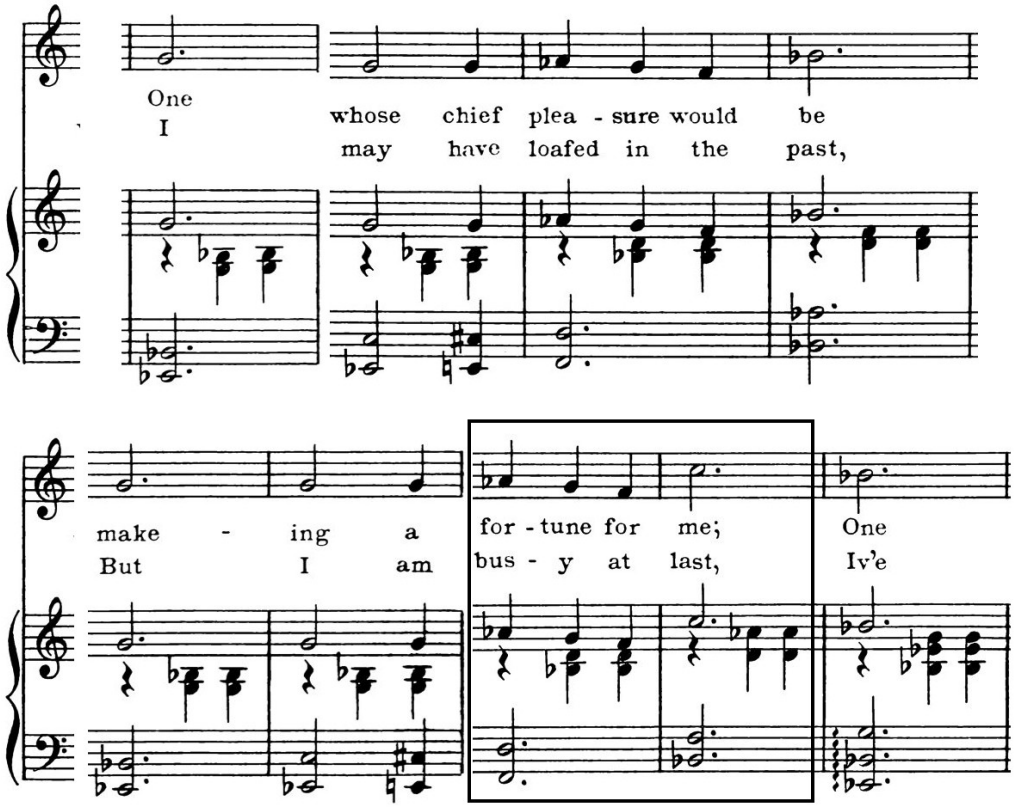
In the refrain of this first number there is one of those direct resolutions of V9 that were still oddly uncommon in the operetta and musical.



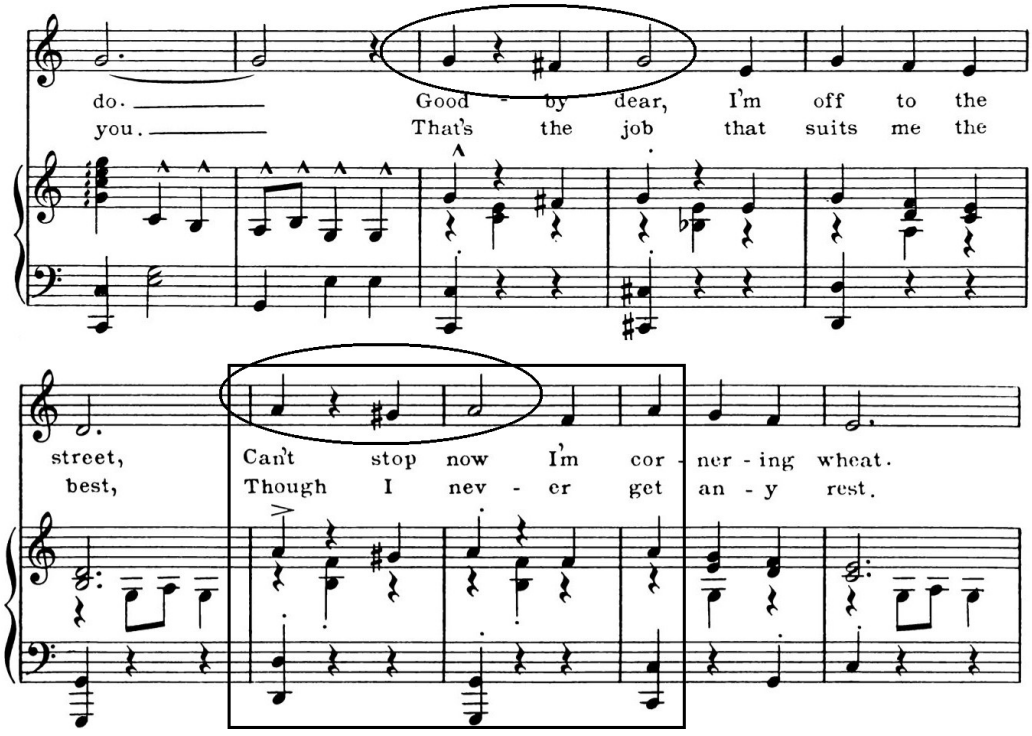
Here is another, at the cadence for the 16-bar antecedent phase of the thirty-two bar form.



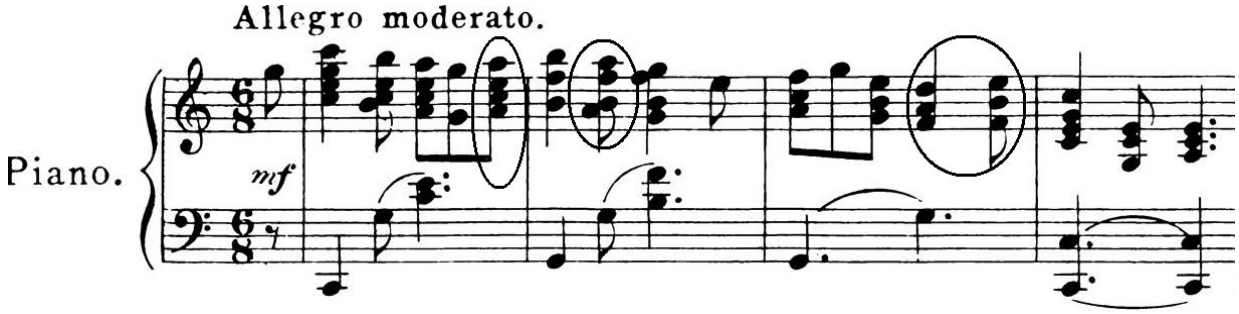
Another in the middle of the verse of no. 2 "I'm so Busy."



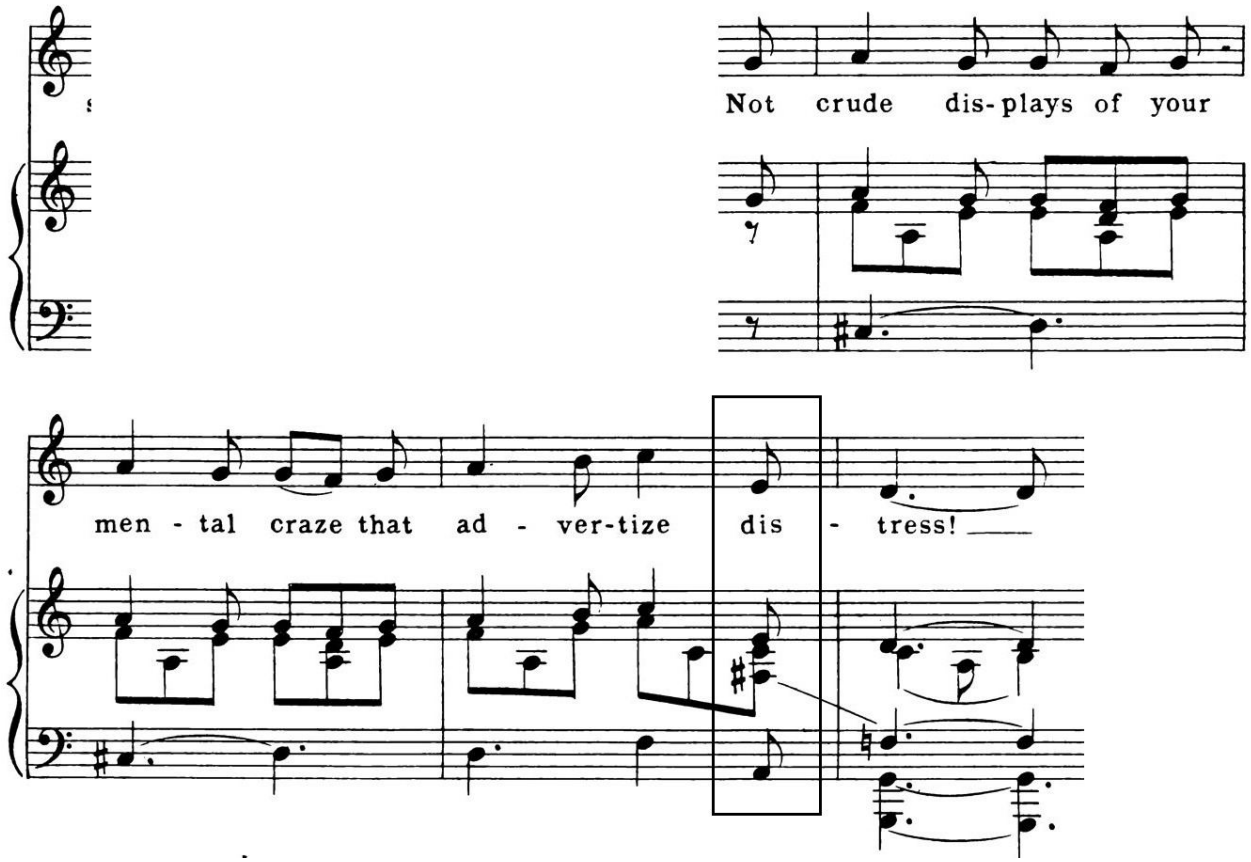
And a parallelism in bars 9-16 of the refrain. Here the resolution of 9 (A4) is one of those I call "almost direct," although in this particular case I should call it "may as well be direct" because of the repeated A4 over I.

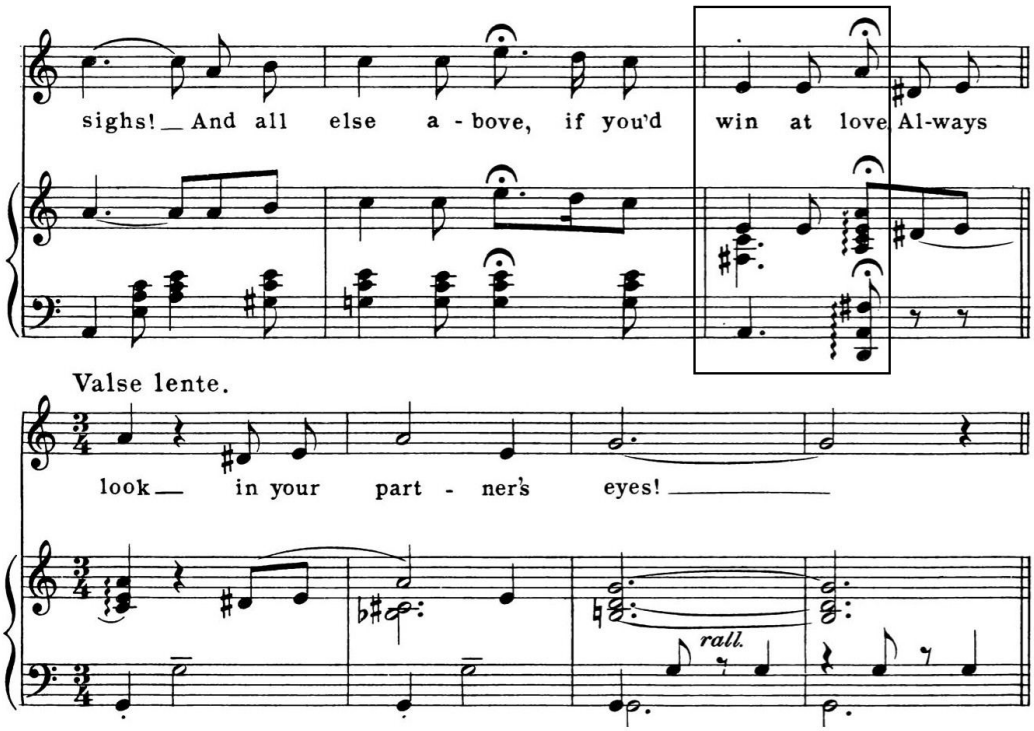


The female lead, Peggy, sings no. 4, "Look in His Eyes." The sound of ^6 over both tonic and dominant can be heard immediately in the introduction.

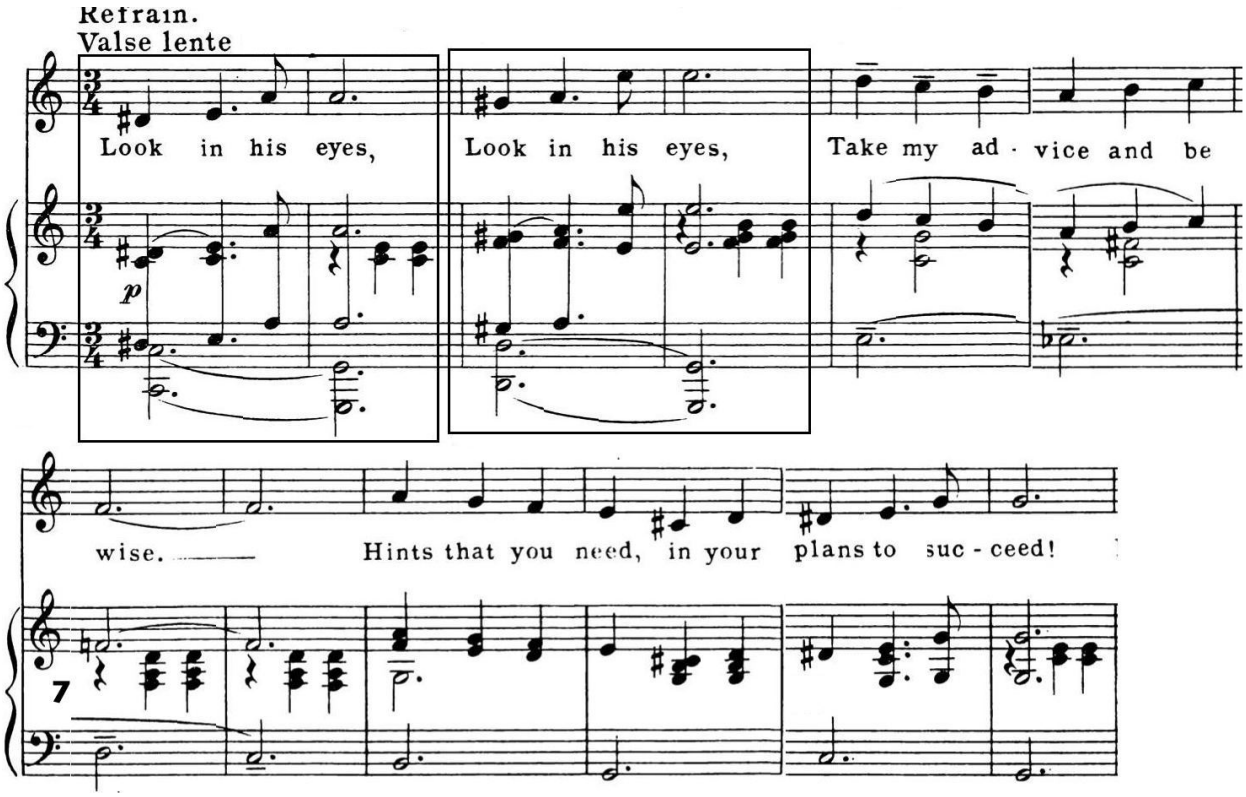


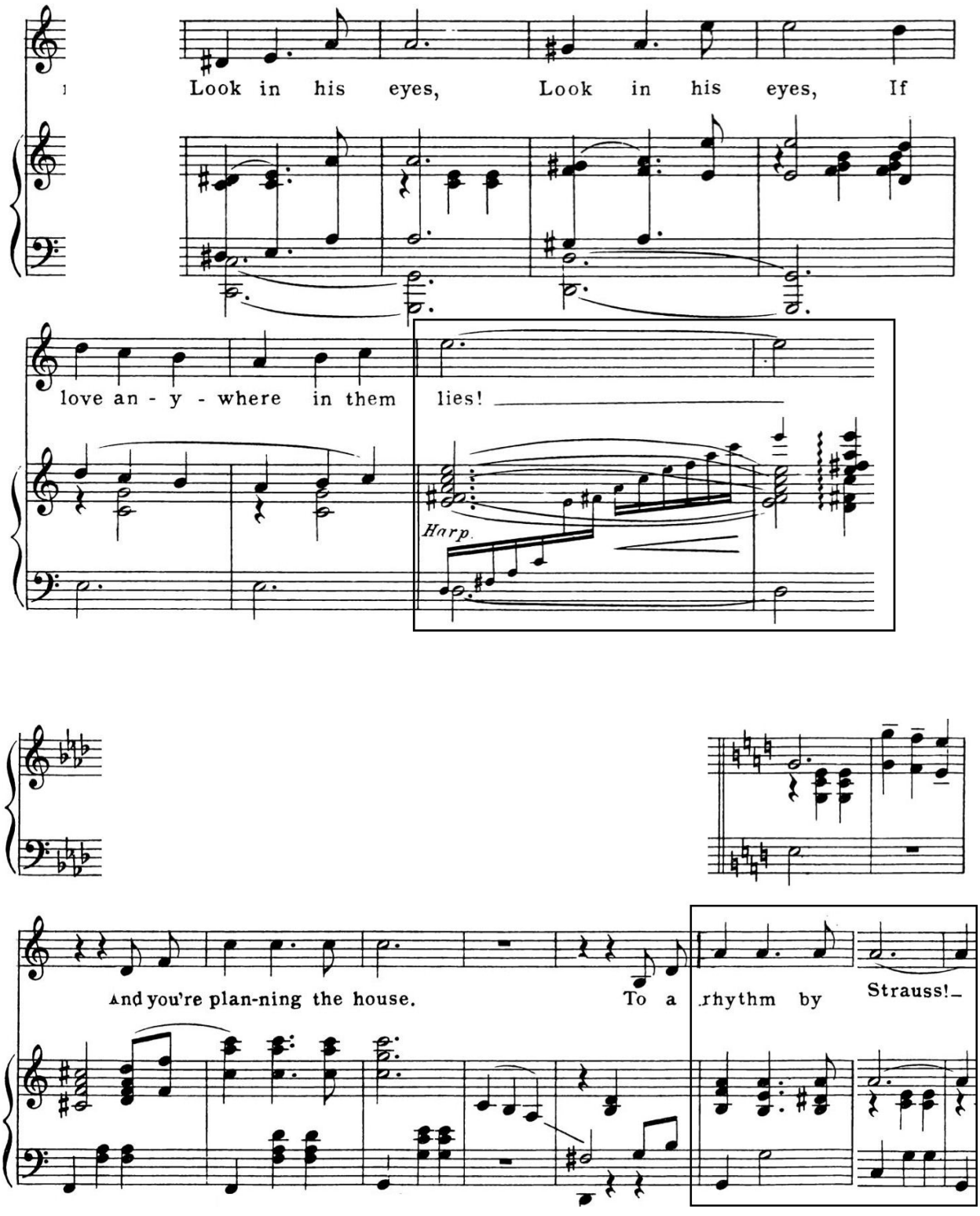
In the verse, Peggy gives advice on how to determine whether a man is interested in you. Two V9/V's are strategically positioned. Example continues on the next page.

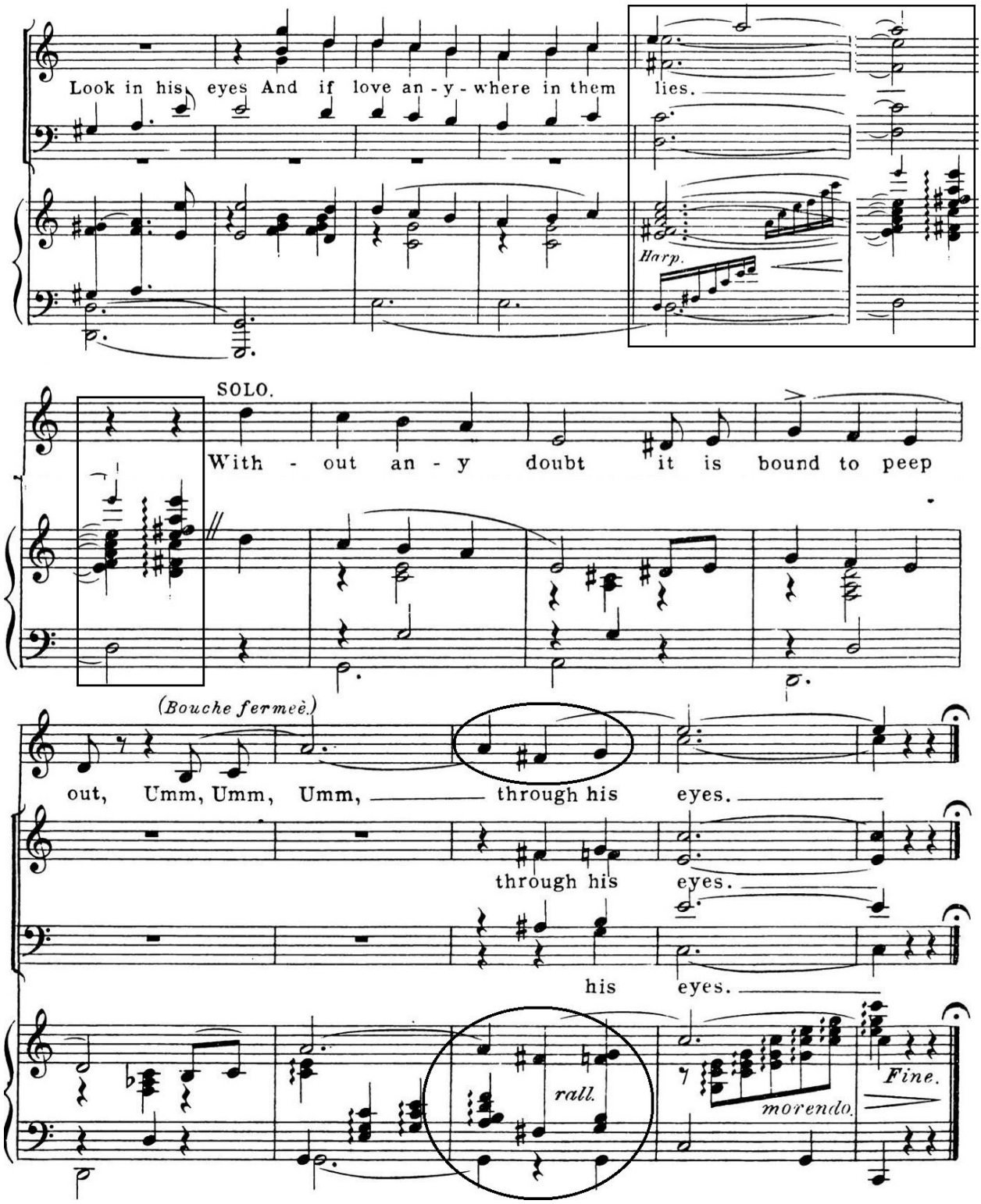




Here are examples from the refrain.

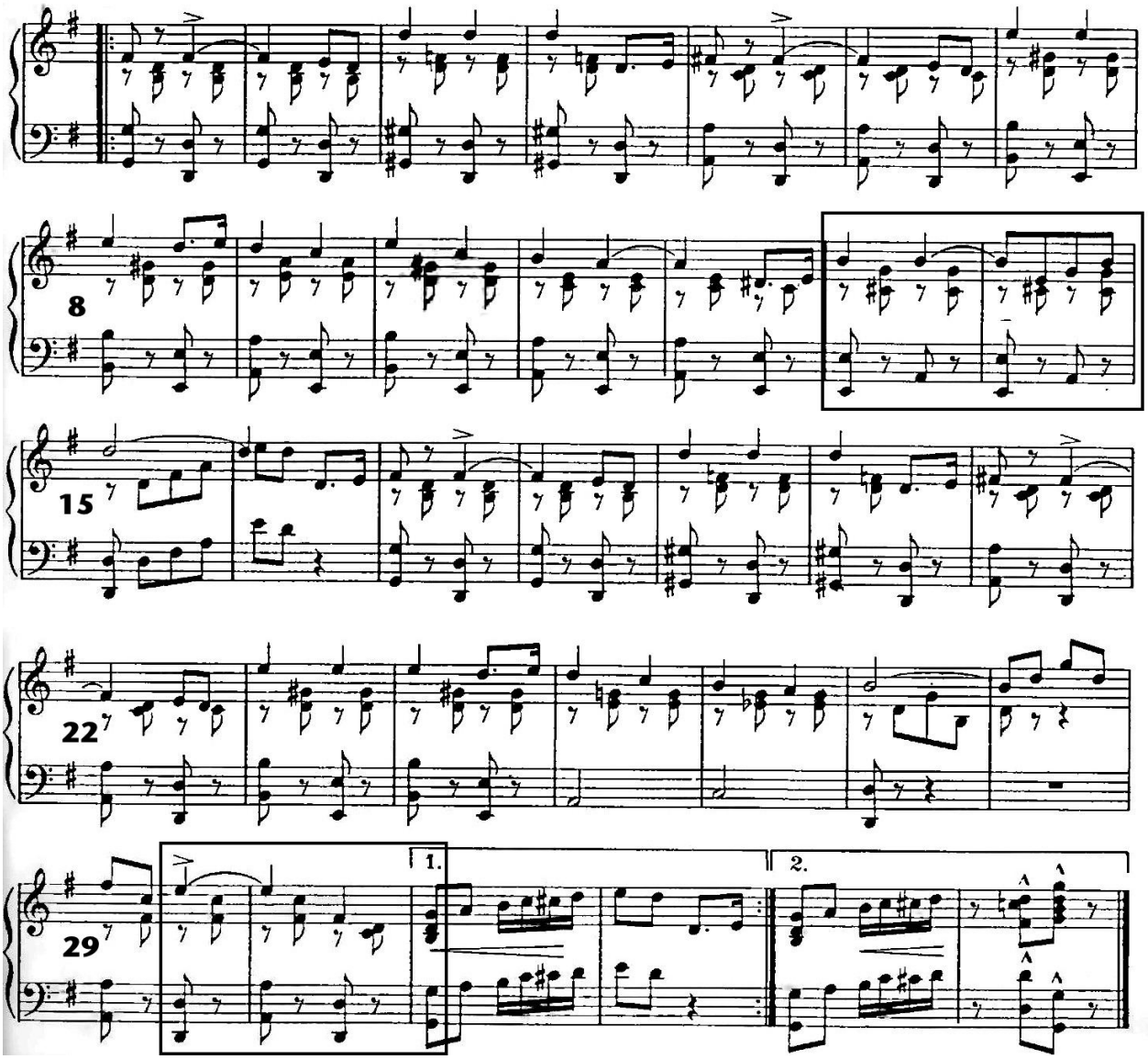



Look in his eyes, Look in his eyes, If
love an - y - where in them lies!
Harp.
And you're plan-ning the house. To a rhythm by Strauss!

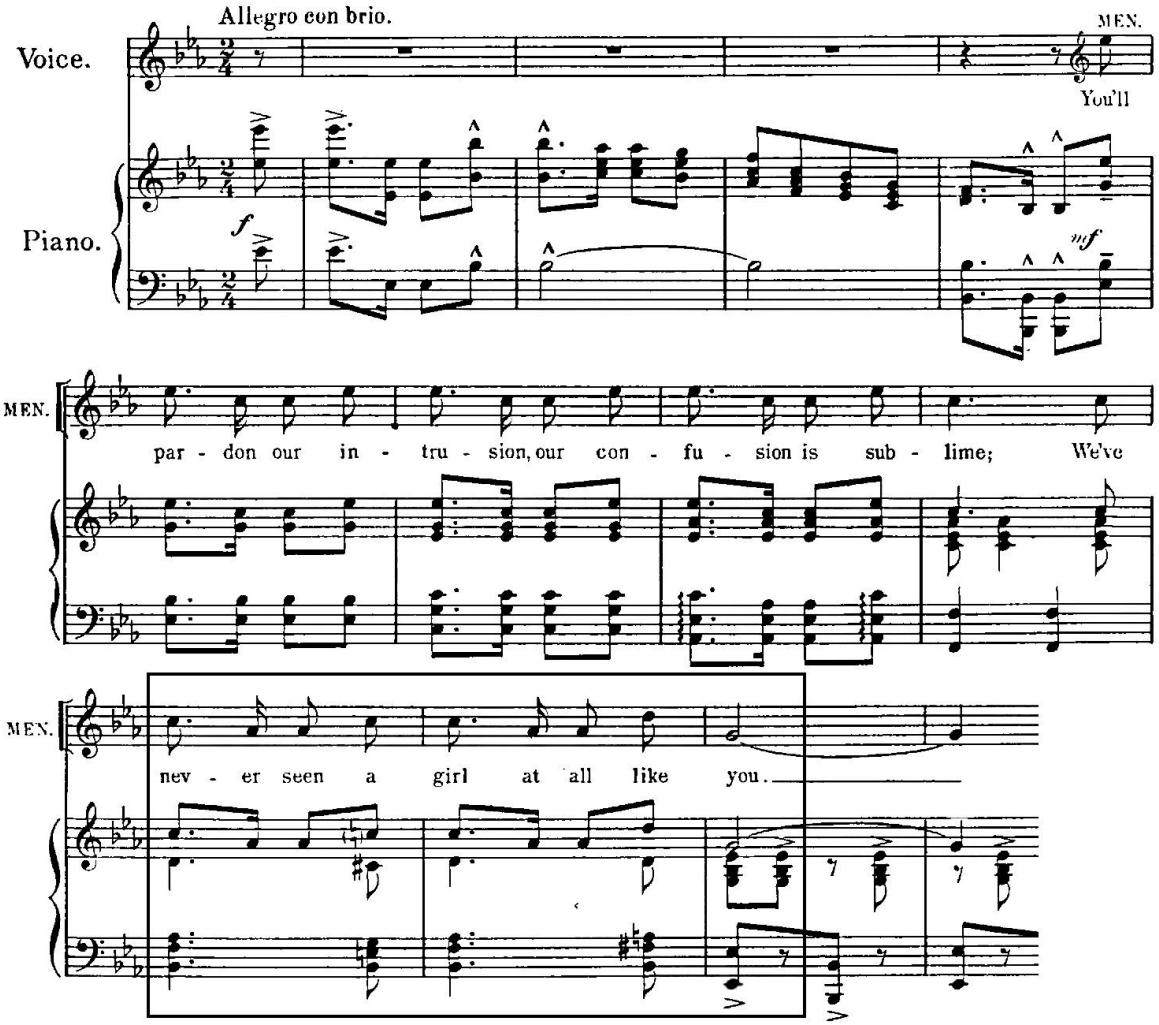

Look in his eyes And if love an - y - where in them lies.
Harp.
SOLO.
With - out an - y doubt it is bound to peep
(Bouche fermeè.)
out, Umm, Umm, Umm, through his eyes.
through his eyes.
his eyes.
rall.
morendo.
Fine.

Jerome Kern, *Sally* (1920)

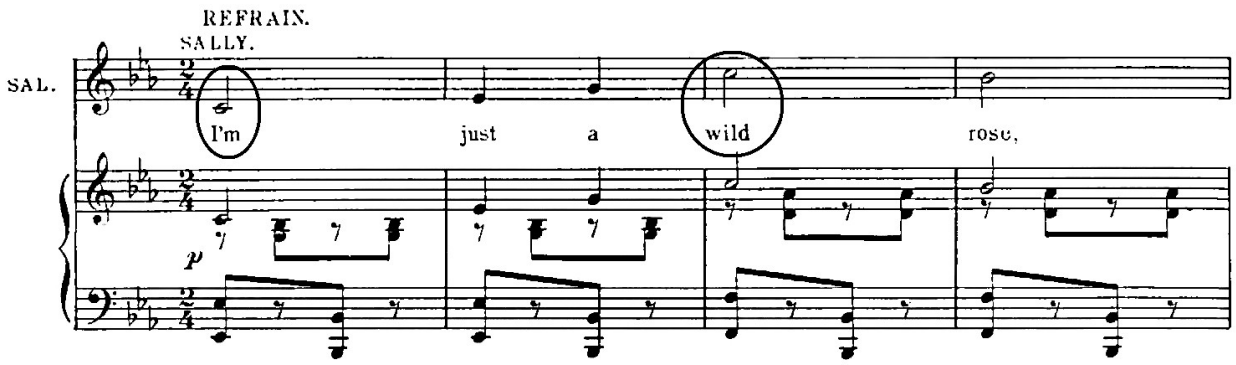
Sally was the most successful of Kern's musicals before *Showboat* (1927). If the salesgirls in *Have a Heart* sang about the demands and strictures of their workplace, in no. 2 here,"The Night-Time," Jimmy, one of the subordinate characters, leads his group in praise of not working at all. The entire refrain is conveniently represented in the march-dance that follows the number and I show that here. Note the prominent V9s in both primary cadences.



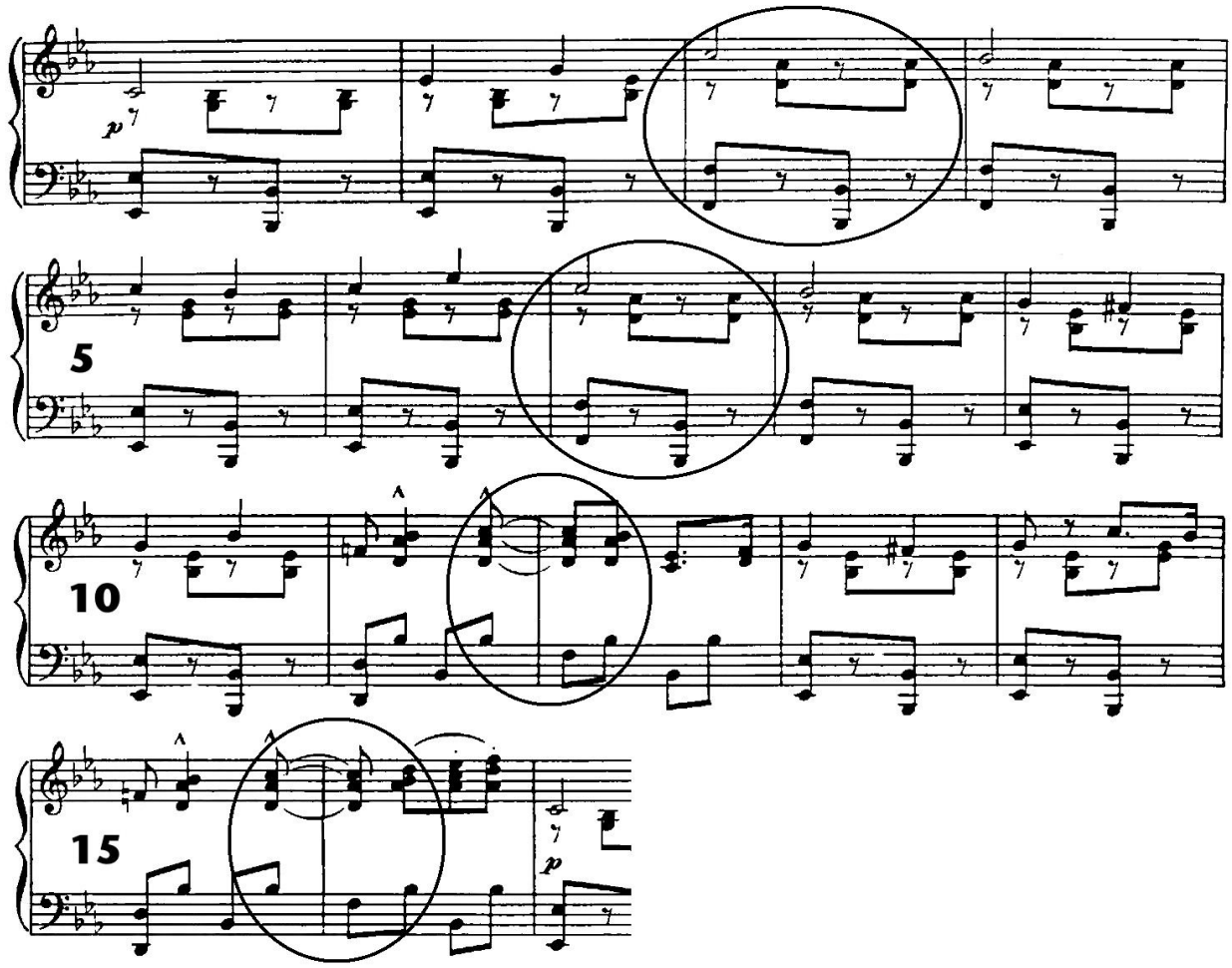
No. 12 "Wild Rose." The basic plot of *Sally* is a rags-to-riches tale for its title character: a young woman left on her own and washing dishes in a back-alley restaurant takes a chance and presents herself as a mysteriously foreign ballet dancer. Of course, she succeeds and marries well into the bargain. In this song and ensemble number, men are still trying to "figure her out." Perhaps the most prominent V9 yet in a theme cadence.



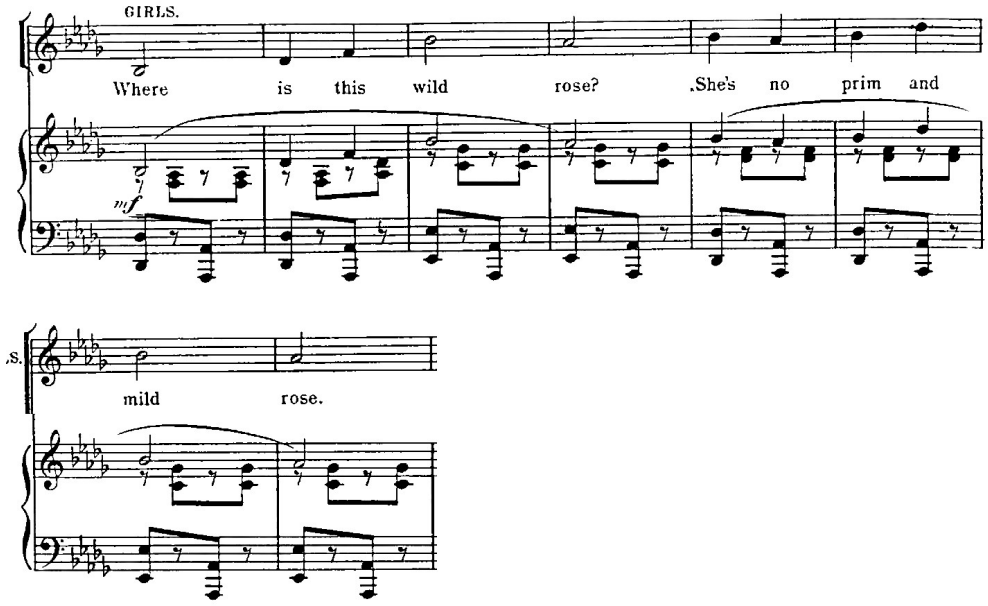
The beginning of the refrain with a parallelism that puts ^6 far forward in the melody.

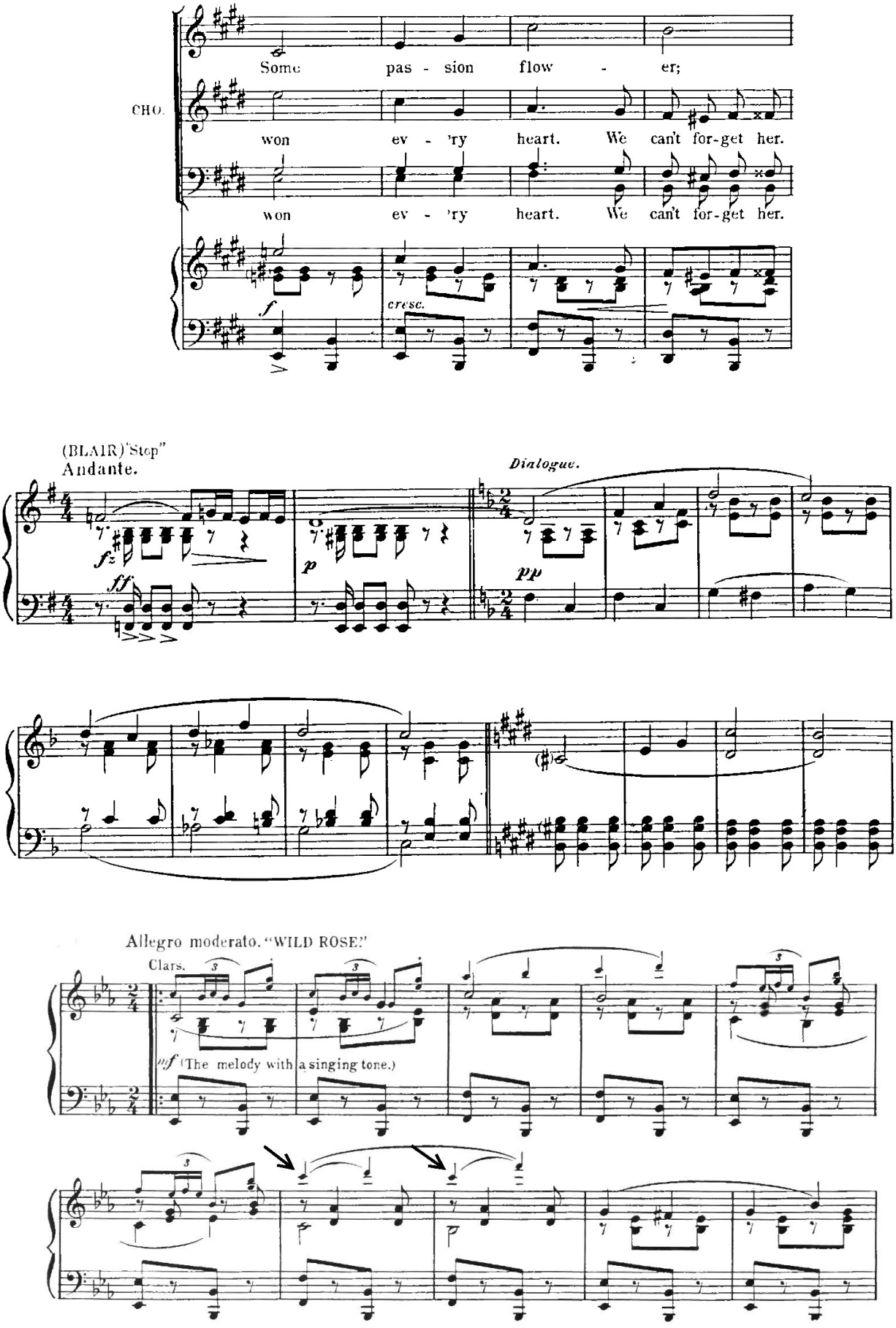


On this and the following page, several presentations of the "Wild Rose" theme.

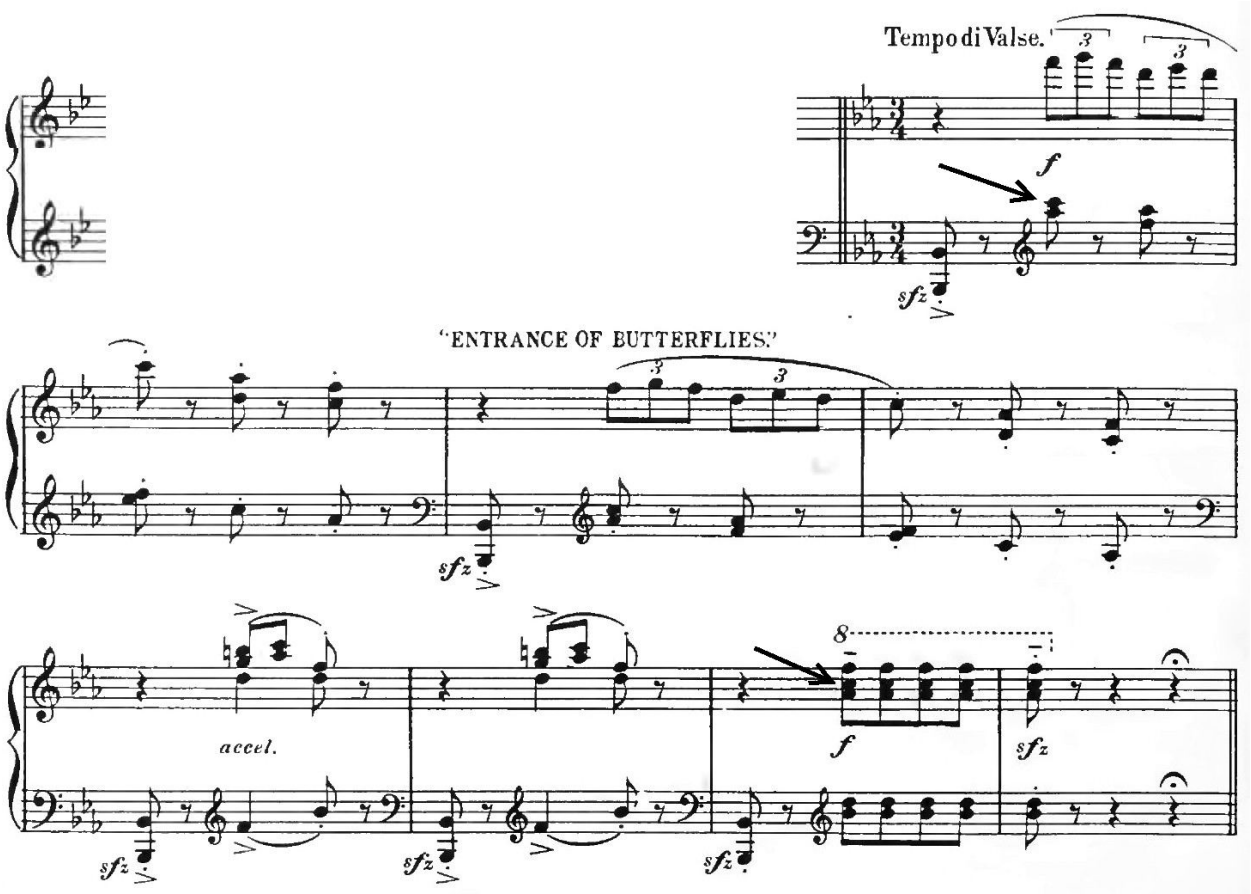


Act II finale

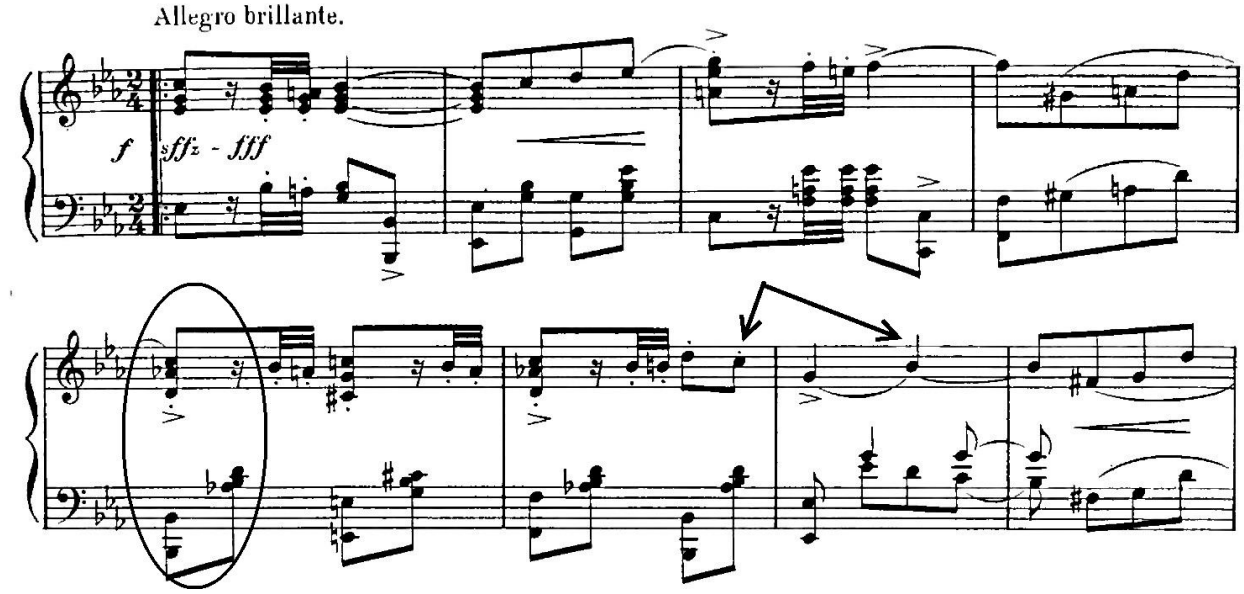


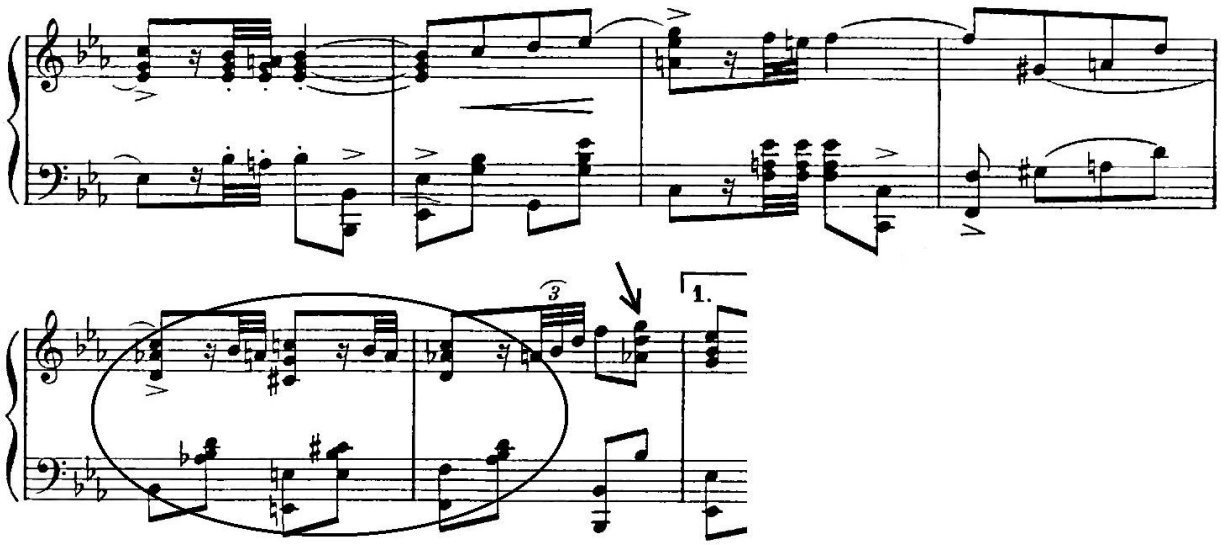

Some pas - sion flow - er;
CHO.
won ev - 'ry heart. We can't for-get her.
won ev - 'ry heart. We can't for-get her.
f
cresc.
(BLAIR) "Stop"
Andante.
Dialogue.
f
ff
p
pp
Allegro moderato. "WILD ROSE."
Clars.
mf (The melody with a singing tone.)

Victor Herbert was asked to write the third-act ballet music, "The Butterfly Ballet." Following a typically dramatic page of introduction, the first dance, a waltz, is also introduced.



The second dance is titled "Dance of the Moths" and is a 19th-century-style scherzando. After that is "Duo Dance: The Moth and the Flame," the first part being another waltz, the second this *Allegro brillante*. Example continues on the next page.





Finally, it is important to note that for none of the musicals in this section—but especially this one, *Sally*—have I attempted to show all instances of V9 treatments. There are indeed others, including some of expressive or form-functional interest, but the examples that I have included here are representative and do not affect the general statement I made in the introduction, that the dominant ninth is used in largely conservative ways in American operettas and musicals before about 1930.